

ABINGDON-ON-THAMES TOWN COUNCIL

Strategic Risk Register

2021-22

Area	Risk	Likelihood of risk L 1= low 2 = Med 3 = High	Potential impact P 1= low 2 = Med 3 = High	Risk score L X P (Range 1 to 9)	Control	Actions identified to mitigate further against risk	Officer
COUNCIL INFRASTRUCTURE							
	I.T server fails	1	3	3	Cloud based back ups of servers Support contract with Red Squid who monitor performance and respond to faults		
	MITEL phone system fails	2	1	2	Support contract with Excel / MITEL who provide help desk support to respond to faults Key staff issued with mobile phones to ensure contactable Professional anti-virus software and firewall		
	I.T. loss of security	1	3	3	Office 365 requires passwords to log in Restricted access to confidential files Use of passwords for confidential files		
	Website fails	1	2	2	IT security review undertaken by IT support company Red Squid Use of encrypted email Egress Switch	Officers to work through recommendations	CS&EO
	Website security	1	2	2	Support provided by Parish Websites who respond to faults Individual log in access for key members of staff		
	Loss of I.T. hardware (theft or faulty)	1	2	2	Council offices are alarmed and access requires key pad entry Support contract with Red Squid to respond to individual faults Contents insurance Business interruption insurance, including the reconstruction of IT records Spare laptop to enable member of staff to be able to continue working		
	Paper documents and records lost	1	2	2	Honorary Town Archivist who oversees historical records Purpose built muniment room for the storage of historical records, with restricted access Muniment room separately alarmed and environment controls		
I.T. & telecommunications							

Records	Paper documents and records lost				Document, Information and Data Retention and Disposal Policy approved January 2022		
					Land registry deeds stored in a locked fireproof cabinet with restricted access		
					Cemetery records stored in a locked fireproof cabinet with restricted access		
	Electronic documents lost	1	2	2	Documents stored on shared drive which is backed up daily		
					Council agendas and reports are saved on shared drive and on SharePoint		
					Fire alarms installed on all ATC buildings		
					Contract with fire monitoring service	External fireproof boxes to be installed to provide building layouts and information to fire service and first responders	PO
	Fire	1	3	3	Fire protection equipment in place in all ATC buildings		
					Annual fire risk assessment		
					Fire training for key staff	Appoint named fire marshall(s) (retirement of previous) and carry out training for Royse Court staff	TC
Property					Buildings insurance		
					Key holding contract in place		
	Adverse weather damage	1	2	2	Annual guttering clearance		
					Quarterly drain flushing		
					Routine building inspections		
	Security	1	2	2	Intruders alarms installed		
					Staff training on how to set alarms		
					Out of hours contract with Oxford Security		
					Good relationship with PCSO and police		
					Routine building inspections	Five year strategic plan for buildings to be informed by quinquennial inspections on a rolling basis	PO
					Accounts with glaziers and locksmiths for emergency call out		
					Servicing of lightning conductor on County Hall	Follow up recommendation of installation of lightning conductor on Abbey Hall (to be included in property survey of Abbey Hall in March 2022)	PO
	Buildings not maintained	1	2	2	Annual flagpole servicing and maintenance		
					Sufficient budgets in place		
					Guidhall maintenance programme		
				Maintenance agreement with English Heritage for County Hall			
				Annual servicing of plant and equipment			
				Maintain relationships with all tenants to ensure reporting of building issues to ATC	To consider full repairing and insuring leases (FRI) when new leases are awarded for Abbey Hall building	PO	

LEGAL RESPONSIBILITIES & DUTIES

<p>Licensing</p>	<p>Alcohol licence not in place</p>	1	1	1	<p>Market Place and County Hall: Designated premises supervisor is the Town Clerk Guildhall: Designated premises supervisor is a named employee of the Abbey Cinema, no longer responsibility of ATC Current licence expires 8 April 2022. Renewal already completed and will cover period ending 8 April 2026 (standard 3 years plus 1 additional year free due to COVID) Licences renewed automatically with PRS / PPL for three applicable sites</p>	
	<p>Wedding licence not in place (The Guildhall)</p>	1	1	1	<p>Use of external sector specific accounts advisors, DCK Accounting Solutions, who contact ATC to agree dates for the draft statements to be produced, ahead of the legal deadline</p>	
	<p>Music licences not in place</p>	1	1	1	<p>Review of the draft financial statements is written in the diary of the Deputy Town Clerk to ensure that AL is not booked for this period</p>	
<p>Financial statements and annual return</p>	<p>Financial statements not approved by deadline</p>	1	1	1	<p>Calendar of meetings is set to ensure that a meeting of the Council takes place each June ahead of the legal deadline</p>	
	<p>Audit and Governance Annual Return (AGAR) not approved by deadline</p>	1	1	1	<p>Use of external sector specific accounts advisors, DCK Accounting Solutions, who contact ATC to agree dates for the draft AGAR to be produced, ahead of the legal deadline Review of the draft AGAR is written in the diary of the Deputy Town Clerk to ensure that AL is not booked for this period RFO role previously held by Town Clerk, who could perform the tasks in the absence of the Deputy Town Clerk Internal Auditor contacts the Deputy Town Clerk ahead of the deadline to arrange review of the draft AGAR and internal controls</p>	
	<p>Financial statements and AGAR not a true reflection of the council's accounts</p>				<p>Calendar of meetings is set to ensure that a meeting of the Council takes place each June ahead of the legal deadline Financial statements are generated by DCK owned software which uses the full data set uploaded from the council's accounting software DCK Accounting Solutions produce the financial statements for several town councils using the same software, increases likelihood of any software errors being identified</p>	

	SLAs not in place	1	1	1	Wildmoor allotment association: signed SLA in place West End and Drayton road allotment associations: SLAs issued and waiting signed copies back	Chase signed copies of SLAs from West End and Drayton Road allotment associations	PO
SLAs & contracts	Contracts with tenants not in place	1	1	1	Abbey Hall: lease agreement in place until 30 Nov 2022 pending negotiation of long term arrangement Registration Office: current lease holding over pending chasing formal valuation advice Chapel: signed lease agreement in place DownOak: licence in place for access to Crown and Thistle public house County Hall basement: licence in place for 1 year, due for review Autumn 2022 Lodges: agreements in place Football clubs: current arrangements holding over, council seeking to enter into appropriate leases / licences but neither of the clubs can enter into these as the clubs are incorporated entities	Abbey Hall: ongoing negotiations of long term arrangements Registration Office: chase formal valuation advice County Hall basement: review ongoing arrangements for Autumn 2022 onwards Football clubs: further meetings pending to see if situation can be resolved	TC / PO
Health and safety	Health and safety of staff	1	3	3	Working from home measures put in place to support office workers during COVID pandemic Fortnightly risk assessments regarding COVID cases and staff arrangements Delegation to Town Clerk to authorise work from home arrangements if COVID cases increase locally Approval for council to provide lateral flow tests to staff Protective equipment, footwear and clothing provided for outdoor services team Maintenance, servicing and MOTs for all council owned vehicles and machinery Policy to reimburse employees for cost of eye sight test and changes to glasses if changes due to tasks undertaken at work Regular PAT testing of all electrical equipment		
					Staff encouraged to carry out regular DSE assessments of their work space Policy to allow a maximum of 5 days annual leave to be unused in any one year Annual fire risk assessment of work places		

Lawful expenditure							A grants register is maintained Limited use of S137 power to minimise risk of spending in excess of the limit per elector	
	Unlawful awarding of contracts and orders	1	2	2			Procurement Policy adopted Standing Financial Regulations adopted Contracts and orders for a value greater than £5,000 require approval of chair of committee and Town Clerk Contracts for a value greater than £50,000 requires full scale tendering exercise	
FINANCE AND CONTRACTS								
Precept	Precept demand not submitted on time	1	3	3			Calendar of meetings is set to ensure that a meeting of the Council takes place each January ahead of the legal deadline	
	Precept sum inadequate	1	1	1			Thorough budget setting process	
	Late payment by district council	1	1	1			Reserve balances could be used in short term	
Bank accounts	Bank collapse	1	2	2			Funds split across 4 accounts with 3 institutions	
	Misuse of funds	1	3	3			Access to online bank portal restricted to key staff Cheque book stored in locked cupboard and 2 or more signatories required to sign each cheque Corporate credit card locked in safe and access limited to Town Clerk and Deputy Town Clerk	
	Incomplete records	1	1	1			Credit card bill paid in full each month by automatic direct debit. Bank reconciliation control would identify any unauthorised spending Monthly bank reconciliations, completed by finance admin assistant and reviewed and signed off by RFO	
	Inappropriate investing	1	2	2			Investment Policy in place	
	Lack of liquidity of investments	1	2	2			Investments with reputable sector specific funds only, reduces risk Use of Public Sector Deposit Fund which allows next day access to funds CIPFA qualified RFO	
Financial controls & records	Financial controls not in place / working effectively	1	2	2			Procedure notes in place Segregation of duties between TC, DTC and finance assistant Internal Audit testing	
	Financial records not maintained	1	2	2			Use of sector specific accounting software Regular back ups of accounting software Records Retention Policy adopted Jan 2022	

Contracts with suppliers	Service provided is not appropriate	1	2	2	Renegotiation dates in diary to ensure contracts do not automatically roll over for additional years	Update contracts central register with dates of "renegotiation window" for each supplier	PO / DTC
	Orders for goods and services are supported by a purchase order which is raised and authorised by the appropriate member of staff				Renegotiation dates in diary to ensure contracts do not automatically roll over for additional years	Update contracts central register with dates of "renegotiation window" for each supplier	
	Invoices are matched to purchase orders and are authorised by the appropriate officer prior to payment				Orders for goods and services are supported by a purchase order which is raised and authorised by the appropriate member of staff	Investigate the benefits of using accounting software built in purchase order module	DTC
	Invoices are coded to the appropriate cost centre and account code which is reported to the appropriate spending committee every cycle in the management accounts				Invoices are matched to purchase orders and are authorised by the appropriate officer prior to payment		
	Expenditure budgets are approved by the council every January for the following year and all expenditure during the year is then coded to a specific budget line	1	2	2	Invoices are coded to the appropriate cost centre and account code which is reported to the appropriate spending committee every cycle in the management accounts		
	Invoices ready to pay are reviewed by the RFO and signed off prior to payment				Expenditure budgets are approved by the council every January for the following year and all expenditure during the year is then coded to a specific budget line		
	Invoices greater than £2,500 require approval of two members of the FGAM committee prior to payment				Invoices ready to pay are reviewed by the RFO and signed off prior to payment		
	A monthly list of all payments made is presented to the FGAM committee at each ordinary meeting for scrutiny and approval				Invoices greater than £2,500 require approval of two members of the FGAM committee prior to payment		
	Invoices are matched to purchase orders and are authorised by the appropriate officer who confirms that the good or service has been received	1	1	1	A monthly list of all payments made is presented to the FGAM committee at each ordinary meeting for scrutiny and approval		
	Invoices are authorised by the appropriate officer who confirms that the amount invoiced is as expected	1	1	1	Invoices are matched to purchase orders and are authorised by the appropriate officer who confirms that the good or service has been received		
	Invoices are requested to be emailed direct by the supplier to finance@abingdon.gov.uk to ensure centralised receipt	1	1	1	Invoices are authorised by the appropriate officer who confirms that the amount invoiced is as expected		
	Invoices received are logged by the finance admin assistant who circulates the list to officers for their review and authorisation				Invoices are requested to be emailed direct by the supplier to finance@abingdon.gov.uk to ensure centralised receipt		
	The list of invoices is updated with codings and authorisations, with any invoices not yet ready to be paid remaining as outstanding on the list for future follow up	1	1	1	Invoices received are logged by the finance admin assistant who circulates the list to officers for their review and authorisation		
	Supplier statements are received and followed up by the finance admin assistant				The list of invoices is updated with codings and authorisations, with any invoices not yet ready to be paid remaining as outstanding on the list for future follow up		
	Budgetary control highlights areas of expenditure expected				Supplier statements are received and followed up by the finance admin assistant		

Expenditure & payments

	Payment is made to wrong supplier	1	1	1	<p>Authorised invoices are input into the accounting software and are verified by the RFO prior to "posting" to the accounts. Only "posted" invoices can be selected to pay within the accounting software</p> <p>The proposed payments are entered in the accounting software and onto the NatWest banking portal. Prior to payment the two lists are checked as correct.</p> <p>The bank account details of any new supplier are verified prior to the first payments being approved. This is either by telephone with the supplier or using the NatWest account check facility</p> <p>Prior to payment the account details entered in the bank portal are verified against the details stated on the invoice / confirmed.</p>	
	Payment is made to wrong bank account	1	1	1		
STAFFING						
0						
	Lack of skills and expertise	1	2	2	<p>Training budget in place</p> <p>Regular staff appraisals identify training needs</p> <p>Local Government pay and conditions to encourage transfer from other sector specific councils</p> <p>Regular appraisals and day to day contact provide opportunity to discuss any concerns before escalates to resignations</p> <p>Procedure notes in place to allow day to day operations to continue effectively</p> <p>Shared access to files between Town Clerk and Deputy Town Clerk</p> <p>"Open door" policy between staff and line managers to discuss any mental health or other health concerns before they escalate</p> <p>Paid counselling provided to staff if required</p> <p>Procedure notes in place to allow day to day operations to continue effectively</p> <p>Budget set at sufficient levels to reduce need to save money by not replacing staff</p> <p>Relationship with LGRC to provide temporary staffing for key sector specific roles</p> <p>Relationship with temping agency to provide temporary staff for other roles</p> <p>Salary scales awarded as per approved staffing review September 2021.</p> <p>Segregation of duties: establishment list maintained by PA to Town Clerk and verified and used by Deputy Town Clerk for payroll</p>	
	Key staff resign	1	2	2		
	Staff sickness levels high	1	1	1		
	Unfilled vacancies	2	2	4		
	Incorrect salary awarded to staff	1	1	1		

Expenditure & payments

STAFFING

Skilled workforce

Staffing shortages

Payment of salaries and pay deductions

Payment of salaries and pay deductions

Incorrect salary awarded to staff	+	+	+		Any spinal point awards, within agreed pay banding, are approved by Town Clerk and confirmed by email prior to payment Any changes to pay banding / permanent hours require approval by Personnel sub committee		
Incorrect monthly pay awarded to staff	1	1	1		Monthly pay is verified against the establishment list Additional hours are supported by an overtime claim form which is signed off by line manager Draft payslips are reviewed by Deputy Town Clerk and signed off Monthly net pay is entered into the NatWest banking portal and checked against the payslips by the Town Clerk prior to submitting the payment to the bank		
Pensions contributions incorrect	1	1	1		Employee pension contributions are referenced against the LGPS bandings Pension contributions checked prior to draft payslips sign off Master payroll spreadsheet used to automatically check the percentage rates for both employee and employer contributions Oxfordshire Pension Fund uses i-connect submission system which has built in variance allowances for month-by-month pension payments. This generates an error message if the tolerance is exceeded for any month.		
Pensions contributions not paid on time	1	1	1		Segregation of duties: Payment request is raised by Deputy Town Clerk and passed to finance admin assistant for input into the accounts software. This is confirmed as completed as part of month end closedown process Timing of ATC's payroll (mid month) allows for additional time for the task to be completed (by 18th of following month) and so gives sufficient leeway for any absence		
Monthly pensions online submission not completed on time	1	1	1		Automated reminders emailed to Deputy Town Clerk throughout the month		
Payovers to HMRC not paid	1	1	1		Segregation of duties: Payment request is raised by Deputy Town Clerk and passed to finance admin assistant for input into the accounts software. This is confirmed as completed as part of month end closedown process		

Payment of salaries and pay deductions	Payers for other salary deductions not paid	1	1	1	Segregation of duties: Payment request is raised by Deputy Town Clerk and passed to finance admin assistant for input into the accounts software. This is confirmed as completed as part of month end closedown process	
CLIMATE EMERGENCY						
To make the council as carbon neutral as possible by 2030	Heating systems and infrastructure of council buildings inhibit ability to reduce carbon emissions	3	3	9	Guildhall upgrade programme to consider impact on environment Use of environment consultants to review the council's buildings and recommend improvements Automated light sensors installed in Roysse Court	Review all energy audits and identify where further work is required PO
	Budget restrictions	1	3	3	2021-22 and 2022-23 budgets include high levels of funding for buildings maintenance. EMRs available to spend. Use of remote meetings where meeting in person is not required Allow home working for employees when appropriate	
	Barriers to reducing travel	1	3	3	Cycle purchase scheme for employees to encourage greener travel Procurement policy and decision forms encourages consideration of climate emergency when placing orders and contracts	Finalise arrangements for cycle scheme DTC
	Lack of officers / councillors focus	1	3	3	Regular training updates for staff	Include updates and tips in the staff bulletins CS&EO
	Lack of interest from residents and stakeholders	2	1	2	Working with community groups Green Forum set up to encourage sharing of ideas One Planet Abingdon provided with use of County Hall basement, and organise local events to encourage residents Use of financial incentives for market place stall holders	
	Lack of officers / councillors focus	1	1	1	Climate emergency included in Terms of Reference for Environment and Amenities committee, including "working with other landowners and organisations to achieve the council's strategic objectives" Projects included in the Forward Plan: Biodiversity strategy to be developed Community woodland 2022-23 approved budget includes £24,500 for biodiversity plan, community woodland and green projects. EMRs available to spend.	
To support carbon emission reduction across the town	Budget restrictions	1	1	1		

Signed.....
Susan Whipp

Deputy Town Clerk / RFO

Date.....

Signed.....
Samantha Bowring

Chair of FGAM committee

Date.....

Community Services & Events Officer	CS&EO
Deputy Town Clerk	DTC
Museum Manager	MM
Properties Officer	PO
Town Clerk	TC