

ABINGDON-ON-THAMES TOWN COUNCIL
Strategic Risk Register
2022-23

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
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COUNCIL INFRASTRUCTURE

I.T. & telecommunications	I.T server fails	1	2	2	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		
	I.T. loss of security	1	2	2	Professional anti-virus software and firewall		
					Office 365 requires passwords to log in		
					Restricted access to confidential files		
					Use of passwords for confidential files		
					IT security review undertaken by IT support company Red Squid	Officers to work through recommendations	CS&EO
					Use of encrypted email Egress Switch		
	Website fails	1	2	2	Support provided by Parish Websites who respond to faults		
	Website security	1	2	2	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			

Records	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			
					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			
Property	Fire	1	3	3	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 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	
					Buildings insurance			
	Adverse weather damage	1	2	2	Key holding contract in place			
					Annual guttering clearance			
					Quarterly drain flushing			
	Security	1	2	2	Routine building inspections			
					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		
					Guildhall maintenance programme		
					Maintenance agreement with English Heriatge 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

Licensing	Alcohol licence not in place	1	1	1	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		
	Wedding licence not in place (The Guildhall)	1	1	1	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)		
	Music licences not in place	1	1	1	Licences renewed automatically with PRS / PPL for three applicable sites		
	Financial statements not approved by deadline	1	1	1	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		
					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		
					Calendar of meetings is set to ensure that a meeting of the Council takes place each June ahead of the legal deadline		
	Audit and Governance Annual Return (AGAR) not approved by deadline	1	1	1	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		
					Calendar of meetings is set to ensure that a meeting of the Council takes place each June ahead of the legal deadline		

Financial statements and annual return

Financial statements and AGAR not a true reflection of the council's accounts	1	1	1	Financial statements are generated by DCK owned software which uses the full data set uploaded by 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		
				Independent of the work of DCK Accounting Solutions, the Deputy Town Clerk reconciles the financial statements with the management accounts to ensure complete		
				Independent of the work of DCK Accounting Solutions, the Deputy Town Clerk reconciles the financial statements with the AGAR to ensure complete		
				Internal Audit testing of the figures included in the AGAR		
Period of Public Rights not set or advertised correctly	1	1	1	Guidance received from several sources: External auditor, NALC, OALC to remind Town Clerk and Deputy Town Clerk of requirement	Ensure June Full Council meeting is at least 1 working day before the end of the month to enable the correct period to be set	DTC
AGAR not submitted to external auditor by deadline	1	1	1	Submission deadline written in the diary of 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		
				Good relationship with DCK Accounting Solutions who could assist with the production of audit evidence if required		
Conclusion of Audit not published correctly	1	1	1	Deputy Town Clerk and Town Clerk both aware of deadline		
				Conclusion of Audit letter from the auditor reminds of this requirement		
				Several staff have knowledge on how to add documents to the council's website and could add the Notice of Conclusion of Audit to meet this requirement		
Ownership records lost	1	1	1	Deeds stored in fire proof cabinet		
Asset registers and inventories not maintained	1	1	1	Asset Register maintained and is updated annually for additions and disposals as part of financial accounts process. Inventories updated annually by Heads of Services for each location	Update inventories of all locations	COSM MM PO
Property, vehicles and equipment not maintained	1	3	3	Annual servicing of plant and equipment Budgets in place		

Assets	Vehicles and equipment stolen or damaged				Contents and vehicles insurance Secure locations CCTV in place in Roysse Court and County Hall		
	Town Treasures not stored appropriately	1	1	1	Currently stored in museum and secure storage at Guildhall. Monitoring tags in place to ensure humidity conditions are appropriate		
	Civic gowns and regalia lost	1	1	1	Councillor gowns stored in locked cupboard. Civic chains stored in safes		
	Civic gowns and regalia not maintained	1	1	1	Budget available for any repairs		
SLAs & contracts	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 copy back	Chase signed copies of SLAs from West End and Drayton Road allotment associations	PO
	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
					Working from home measures put in place to support office workers during COVID pandemic Fortnightly risk assessments regarding COVID cases and staff arrangements		

Health and safety

Health and safety of staff				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			
				Health and safety training provided including first aid, fire training, chain saw handling			
				StoreNet radio subscription to alert staff of issues within the town			
				CCTV in place in Roysse Court and County Hall			
				Lone working alarm available to use			
				Staff signing in / out procedures			
				Regular water testing			
				Daily cleaning of buildings			
				Staff fire marshalls	Appoint named fire marshall(s) (retirement of previous) and carry out training for Roysse Court staff	TC	
	Health and safety of public and visitors in council owned spaces				Annual fire risk assessment of public buildings		
					Public liability insurance in place		
					Regular inspection of public buildings		
				Regular inspection of play equipment, street furniture and footpaths			
				Inspection of stability of gravestones	Plan and carry out an initial and ongoing inspections of gravestones (training has been completed by COSM and Admin Assistant)	COSM	
				Bi-annual tree survey and regular inspections			
			Out of hours call out arrangements of outdoor services team to respond to public concerns				

					Fire alarms linked to monitoring service		
					Security alarms monitored by Oxford Security, out of hours patrols and response		
					Contract in place for dog bin emptying		
					Pest control contracts in place		
					Water testing contract in place		
					Visitor signing in / out procedure in Roysse Court		
	Health and safety at events				Event Plans and risk assessments produced, using external risk assessor when appropriate		
					Public liability insurance in place		
					Liasion with Safety Advisory Group (SAG) and event organisers		
					Limits to number of attendees where appropriate		
					Community Services and Events Officer attending "How to run safe events" SLCC course		
Lawful expenditure	Unlawful awarding of community grants				Grants policy on the website explaining criteria		
					Grant applications require approval by the Community committee and cannot be approved by an officer		
					Minutes record the power under which a grant has been awarded		
					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				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 collapse	1	2	2	Funds split across 4 accounts with 3 institutions		

Bank accounts	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		
					Credit card bill paid in full each month by automatic direct debit. Bank reconciliation control would identify any unauthorised spending		
	Incomplete records	1	1	1	Monthly bank reconciliations, completed by finance admin assistant and reviewed and signed off by RFO		
Investments	Inappropriate investing	1	2	2	Investment Policy in place		
	Loss of funds	1	3	3	Investments with reputable sector specific funds only, reduces risk		
	Lack of liquidity of investments	1	2	2	Use of Public Sector Deposit Fund which allows next day access to funds		
Financial controls & records	Financial controls not in place / working effectively	1	2	2	CIPFA qualified RFO		
					Procedure notes in place		
					Segregation of duties between TC, RFO 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		
Income & receipts	Sales invoices not issued	1	1	1	Monthly schedule of regular sales invoices in place, reviewed as part of monthly closedown of accounts		
					Sales invoice request form for use for ad hoc invoices		
					Budgetary control highlights areas of income expected		
	"Lost" income	1	1	1	Cheques / cash received are logged in the kalamazoo receipts book and banked promptly		
					Aged debt review carried out regularly which would identify any invoices a customer has paid but for which the income is "lost"		
	Loss of cash	1	1	1	Customers requested to pay by direct bank transfer if possible which minimises the level of cash received		
					Cash received in Roysse Court is receipted and stored in the safe until banked		

Income & Receipts	Loss of cash	+	+	+	Museum takings are reconciled to till reports daily and stored in the safe until banked		
					Access to safes limited to key staff		
					Monthly bank reconciliation confirms bank receipts agree to records		
	Fees and charges not reviewed	1	1	1	Annual review as part of budget setting process		
	Bad debt	1	2	2	Aged debt review carried out regularly by finance assistant		
Procedures in place for chasing of debt: e.g. letter 1, letter 2, phone call							
Any significant levels of debt raised with Chair of FGAM, agreeing to use of solicitor if appropriate							
Use of Ox Security market management to chase debt relating to market tolls and market place licences							
					Any irrecoverable bad debts require approval by FGAM committee		
Contracts with suppliers	Signed contracts with service providers not in place	2	1	2	Regular review by the Properties Officer to ensure records complete	Ensure contracts central register is up-to-date	PO / DTC
					Copies of signed contracts stored on shared network		
	Service provided is not monitored	1	1	1	List of service dates submitted at beginning of contracts for general visits		
					Engineers visit reports received and reviewed		
					Invoices require approval prior to payment		
	Service provided is not appropriate	1	1	2	Procurement Policy in place, providing guidance on choosing appropriate supplier		
Procurement Decision forms to be completed which document rationale for chosen supplier							
					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		
					Invoices are matched to purchase orders and are authorised by the appropriate officer prior to payment	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		

Expenditure & payments

Unauthorised expenditure	1	2	2	<p>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</p> <p>Invoices ready to pay are reviewed by the RFO and signed off prior to payment</p> <p>Invoices greater than £2,500 require approval of two members of the FGAM committee prior to payment</p> <p>A monthly list of all payments made is presented to the FGAM committee at each ordinary meeting for scrutiny and approval</p>		
Goods and services not received	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		
The invoice is for the incorrect amount	1	1	1	Invoices are authorised by the appropriate officer who confirms that the amount invoiced is as expected		
Invoices are unpaid	1	1	1	Invoices are requested to be emailed direct by the supplier to finance@abingdon.gov.uk to ensure centralised receipt		
				Invoices received are logged by the finance admin assistant who circulates the list to officers for their review and authorisation		
				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		
				Supplier statements are received and followed up by the finance admin assistant		
Payment is made to wrong supplier	1	1	1	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		
				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.		

	Payment is made to wrong bank account	1	1	1	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		
					Prior to payment the account details entered in the bank portal are verified against the details stated on the invoice / confirmed.		
STAFFING				0			
Skilled workforce	Lack of skills and expertise	1	2	2	Training budget in place		
					Regular staff appraisals identify training needs		
					Local Government pay and conditions to encourage transfer from other sector specific councils		
Staffing shortages	Key staff resign	1	2	2	Regular appraisals and day to day contact provide opportunity to discuss any concerns before escalates to resignations		
					Procedure notes in place to allow day to day operations to continue effectively		
					Shared access to files between Town Clerk and Deputy Town Clerk		
	Staff sickness levels high	1	1	1	"Open door" policy between staff and line managers to discuss any mental health or other health concerns before they escalate		
					Paid counselling provided to staff if required		
	Unfilled vacancies	2	2	4	Budget set at sufficient levels to reduce need to save money by not replacing staff		
					Relationship with LGRC to provide temporary staffing for key sector specific roles		
Relationship with temping agency to provide temporary staff for other roles							
	Incorrect salary awarded to staff	1	1	1	Salary scales awarded as per approved staffing review September 2021		
					Segregation of duties: establishment list maintained by PA to Town Clerk and verified and used by Deputy Town Clerk for payroll		
					Any spinal point awards, within agreed pay banding, are approved by Town Clerk and confirmed by email prior to payment		

Payment of salaries and pay deductions

				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		
Pensions contributions not paid on time	1	1	1	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.		
				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		
Monthly pensions online submission not completed on time	1	1	1	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		
				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		

	Payovers 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 reduce ability to reduce carbon	3	3	9	Guildhall upgrade programme to consider impact on environment		
					Use of environment consultants to review the council's buildings and recommend improvements	Review all energy audits and identify where further work is required	PO
					Automated light sensors installed in Roysse Court		
	Budget restrictions	1	3	3	2021-22 and 2022-23 budgets include high levels of funding for buildings maintenance. EMRs available to spend.		
	Barriers to reducing travel	1	3	3	Use of remote meetings where meeting in person is not required		
					Allow home working for employees when appropriate Cycle purchase scheme for employees to encourage greener travel	Finalise arrangements for cycle scheme	DTC
Lack of officers / councillors focus	1	3	3	Procurement policy and decision forms encourages consideration of climate emergency when placing orders and contracts			
				Regular training updates for staff	Include updates and tips in the staff bulletins	CS&EO	
To support carbon emission reduction across the town	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			

	Budget restrictions	1	1	1	2023-24 approved budget includes £24,500 for biodiversity plan, community woodland and green projects. EMRs available to spend.		
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Cemeteries & Outdoor Services Manager	COSM
Community Services & Events Officer	CS&EO
Responsible Finance Officer	RFO
Deputy Town Clerk	DTC
Museum Manager	MM
Properties Officer	PO
Town Clerk	TC

Mar-22