

Honiton Town Council – November 2022 Corporate Risk Assessment

This Risk Assessment is based on the EDDC format used for management of Events. It is focused on the general risks to the Honiton Town Council. The Risk Assessment uses risk scores as defined by the Council’s Risk Strategy and Policy (March 2021). **Those risks highlighted in BOLD are considered to be the most significant: Beehive; Employment Tribunals; Legal Challenge; Market.** Individual risk assessments are prepared for some risks.

The Council has a legal responsibility to protect itself and workers and others from risk to their health and safety. It must think about the risks they face and do everything reasonably practicable to minimise them, recognising you cannot completely eliminate risks.

The Council has completed the tables below: clerk@honiton.gov.uk *For further information, please refer to the resources at the bottom of this document.*

Event details:

Event:	Prepared / Approved by: Your Name: Stephen Hill (Town Clerk) Date: 2 November 2022 Version: v3 Prepared in consultation with Cllrs Theresa Howard, Hurford and Sexton, 1 November 2022 Honiton Town Council: Reviewed and Approved Full Council 15th May 2023	Email Address: clerk@honiton.gov.uk Contact Number: 07949 150 888
Company Name: Honiton Town Council	Persons Responsible on Site: Town Clerk	Contact Numbers: TBA c/o above
Venue: Honiton Town Council, The Beehive		

Risk Assessment:

The Town Council's Risk Strategy and Policy will be used to assess risks and identify mitigation measures: <http://www.honiton.gov.uk/Core/Honiton-Town-Council/UserFiles/Files/Policies/2021/RISK%20MANAGEMENT%20POLICY%20March%202021.pdf>

Hazard Risk Categories	Those at risk	Points to consider and control measures	Current Assessment of Risk			Further action required to control risk?
			Risk score (likelihood/impact)	Residual Risk	n/a	
Damage to the council owned community complex (The Beehive)	Honiton Town Council	As freeholder HTC to ensure oversight and ensure insurance in place, with Zurich. 90% of the cost of insurance of the Beehive is billed to HCC: 2022/23 HTC insurance premium £6,184.24 Zurich quoted price for Beehive building insurance £4,477.96 90% of Zurich quoted price for Beehive building insurance £4,030.16	15	6		In place; Council insurance.
Council must manage the Honiton Community Complex if Lease Notice is given.		Assess and review council revenue budget and reserves and banking methods to enable precise accounting and audit trails. Ensure resource and expertise is in place. Implement operational management of the HCC. HCC served Notice February 2022 and rescinded March 2022 on the basis that HTC agreed to underwrite HCC costs. There are separate confidential reports to Full Council and risk assessments on this matter from February 2022.	15	10		Actions have been agreed to Full Council since February 2022 and include commissioning consultants, public consultation, recasting budget, underwriting HCC costs, establishing a Beehive WG, Strategy Committee lead and separate Risk Assessments.
Council must meet financial implications arising from the Honiton Community Complex if transferred to HTC.		<ul style="list-style-type: none"> To reach negotiated agreement with HCC; Review Meeting HTC/HCC started April 2022 and meeting monthly. The Council has appointed two Council representatives of the HCC which are Directors. Consultants have been appointed (Wellers Hedley solicitor, Parkinson Partnership VAT, Mulbery Accountants) Financial implications reported to Full Council February-November 2022 	15	9		Service Level Agreement 2015 and Variation resolved January 2021. Council Directors will highlight risks emerging for HTC. Review meetings. Consultants

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The risk is the Street Market makes a financial loss		<ul style="list-style-type: none"> Review council revenue reserves and banking methods to enable precise accounting and audit trails; financial management processes in place. Produce targets and objectives for market manager; Market Working Group established 	15	12		Market rental income has been re-introduced (October 2021) following suspension during Covid-19, 2020/21. Budget 2022/23 is c. ½ budget; Market remains below budget.
Council fails to hold sufficient revenue budget and general reserves to meet unexpected expenditure		<p>Revenue budget agreed annually by Council. Internal controls in place. Monthly and quarterly financial monitoring. Review council reserves and banking methods to enable precise accounting and audit trails.</p> <p>Amount of Reserves is assessed against consideration of risks, eg employment tribunal costs (now resolved), Beehive management and legal against EDDC (with HTC called as witness). Reserves are low C. £150k and all Earmarked (last reported to F&P Committee October 2022).</p>	20	15		Annual budget setting and Council approval of budget and Precept. Reserves (EMR) reviewed by F&P Committee. Reserve Strategy is in place and Treasury Management Strategy approved December 2021.
Mis-use of council funds		<p>Internal and External Audit. IAC appointed as Internal Auditor. Annual AGAR prepared including for public scrutiny and Internal and External Audit. Internal controls: Financial Regs, Code of Conduct and Standing Orders.</p> <p>Internal investigations will be initiated should there be any concern about misappropriation of public funds.</p>	10	6		Audit reports initially taken to F&P Committee and Council for information and corrective actions. Internal controls are reviewed annually by Council and at F&P Committee.
Loss of council funds held in bank accounts		Internal controls: Financial Regs. Consider keeping council reserves in another bank.	10	10		Financial Regs are reviewed annually by Council and at F&P Committee. Deposits less than £80k in each of 5no. bank accounts.
Loss or damage of council assets		Review Insurances annually; 3 years LTA began with Zurich 24.6.21	9	6		Annual insurance policy in place with Zurich (renewed 3 year LTA mid 2021).
Accident occurring to a		Lone working policy. Annually Review	15	6		This risk is managed by each

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member of staff or public on council premises or at a council run activity.						service specific risk assessment. Council is insured as a Corporate Body.
Failure in IT system		ICT service support is outsourced. IT contract issued to Tender February 2022 and awarded to Core IT early 2022. Migrating e-files to Cloud to improve security, user accessibility, enable Councillor access and enable compliance with GDPR.	12	6		CoreICT has the contract to maintain the Council's ICT system and ensure security. Contract reviewed 22/23 and Core IT re-contracted April 2022.
Loss of the General Power of Competence		The Council holds the General Power of Competence until May 2023 and employs (2021/22) a CiLCA qualified Clerk and adopted the GPC January 2021.	10	6		The Council now has the GPOC from January 2021 but does not hold a Quality status.
Insufficient human resources		HR policies to be retained and up to date. Resilience risk at Street Market (assistant needed)	10	8		HR policies adopted by Council. Recruitment and retention policies to be approved.
Loss of essential services i.e. Electricity, Water. Gas. For periods longer than 24hrs		Utility service contracts via HCC. Electricity is supplied to the Beehive via ECOE and its solar roof panels, governed by an Agreement.	3	3		-
Failure to respond to an emergency within the boundary of the parish		Reviewed Emergency Plan annually including with DCC and EDDC. Emergency Plan revised and approved February 2022. Tested EP with EDDC and EA October 2022, flooding event.	10	6		A review of the HTC Emergency Plan is complete and provided to DCC and EDDC for comment. A TERG exercise undertaken annually; October 2022 flooding
Failure to meet Statutory Obligations.		Council is responsible for meeting its lawful and statutory requirements as defined by SO, Code of Conduct and Financial Regs and underpinned by Legislation and Guidance.	12	8		SO, CoC and Financial Regulations to be reviewed and adopted annually. Qualified Town Clerk and RFO employed.

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Failure to meet legal obligations. Risk of legal challenge.		Council is responsible for meeting its lawful and statutory requirements as defined by SO, CoC and Financial Regs and underpinned by Legislation and Guidance. Hope & May appointed as DPO and assisting with SAR/FOI requests and ICO correspondence.	10	4		SO, CoC and Financial Regulations to be reviewed and adopted annually. Revenue reserve needs to be assessed as adequate. DAS Law appointed as legal adviser wrt employment law and the Council's insurance.
Actions of Council have a negative impact on community		Councillors to represent community via election / co-option. Draft community strategy is being prepared.	16	12		By-Elections 6 May 2021. Community Governance Review petition received by EDDC December 2021; EDDC reported no further action on CGR but may undertake Boundary Review. Election unopposed February 2022 and Election 10 March 2022. 1no. By-Elections and 1no. Co-option during 2022.
Failure of Council to fulfil community activity responsibilities		<i>As above</i>	15	6		
Illegal access to Council property		Security measures are in place at The Beehive. Review security methods annually	8	4		Review annually. Review of key Register needed.
Failure to comply with employment law		HR policies are approved. HR service support has been outsourced to HRSP specialists.	15	10		Annual review of HR policies; Annual Council meeting. Maintain HRSP as outsourced HR specialist. Consider risks and costs when managing employment claims against the Council.
Inappropriate action by a councillor		Code of Conduct is approved by Council. Various HR policies are approved.	20	8		Policies and procedures are in place including via the EDDC

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						Monitoring Officer.
Council owned limited companies fail to provide regular reports		Risk not Active: there are no Council owned companies.	-	-	-	-
Council fail to produce clear and adequate governance to council owned companies.		Risk not Active: there are no Council owned companies.	-	-	-	-
Failure to comply with Health & Safety Legislation		<p>The Council has specific Risk Assessments for services to ensure compliance with H&S legislation eg market and offices at The Beehive. To liaise with the HCC management committee via HTC/HCC monthly Review Meetings.</p> <p>Market RA mitigation measures to be put in place led by the Market Working Group.</p> <p>Improvement works at Roundball Wood have been commissioned (from JM Hewitt Grounds Maintenance) and work started November 2022.</p>	15	6		<p>Risk Assessments to be approved and needed for Roundball Wood. H&S site visit made to Market (mid 2022) and RA for Market has been delegated to Market Working Group for actions to be implemented.</p>