Dalton with Newton Town Council – Risk Register 2025

Adopted on……………………………..

General and Financial
This register enables Dalton Council to assess the risks it faces, identify necessary actions to minimise those risks, and is reviewed annually.
Adopted on: 4th Nov 2024

Risk Area	Identified Risks	Impact (H/M/L)	Probability (H/M/L)	How the Risk is Managed	Risk Assessment & Responsibility
Precept & Budget	Inadequate or excessive precept and reserves	High	Low	Town Council sets the precept at January budget meeting using previous, current, and forecasted figures	Existing procedures effective; Clerk/RFO/Council
Reporting & Auditing	Inaccurate information, poor communication, inefficient auditing	Medium	Low	Finance report at every council meeting; quarterly Finance Committee scrutiny; internal & external audits annually	Existing procedures effective; Clerk/RFO/Council/Auditors
Financial Records	Inadequate, inaccurate, or outdated records; financial irregularities	Medium	Low	Records managed by Clerk/RFO; reported as above	Existing procedures effective; Clerk/RFO/Council
Banks & Banking	Mistakes, incorrect charges, inadequate transaction checks	Medium	Low	All payments require two Cllrs' authorization; monthly bank statement checks	Existing procedures effective; Clerk/RFO/Council
Goods & Services	Incorrect invoices, unpaid invoices, services not received	Low	Low	Financial Regulations & Standing Orders followed; payments authorized by Council with two signatories	Existing procedures effective; Clerk/RFO/Council

Risk Area	Identified Risks	Impact (H/M/L)	Probability (H/M/L)	How the Risk is Managed	Risk Assessment & Responsibility
VAT	Failure to reclaim VAT	Low	Low	VAT returns submitted online quarterly; internal controller checks monthly	Existing procedures effective; Clerk/RFO
Grants	Poor monitoring of grant allocation funds	Low	Low	Grant applications & budgets reviewed at time of application	Existing procedures effective; Clerk/RFO/Council
Contracts	Work awarded incorrectly or procedures not followed	Medium	Low	Multiple quotations for significant work; Standing Orders & Financial Regulations followed; long-term contracts reviewed	Existing procedures effective; Clerk/RFO/Council
Salaries & PAYE	Incorrect salary or PAYE payments	Low	Low	Registered with HMRC; Clerk/RFO operates Real Time PAYE; salaries reviewed annually	Existing procedures effective; Clerk/RFO (Line manager)
Employees – Office Staff	Fraud, unauthorized actions, accidents, unsafe working conditions	Medium	Medium	Clerk/RFO supervises staff; training provided; health & safety policies; risk assessments; office safety measures; fidelity insurance in place	Existing procedures effective; Clerk/RFO (Line manager)
Employees – Groundsperson	Lone working, accidents, adverse weather conditions, equipment use	High	Medium	Lone worker procedures; mobile phone check-ins; PPE provided; training on machinery; emergency protocols; risk assessments; regular check-ins with Clerk	Existing procedures effective; Clerk/RFO (Line manager)
Elections	Unexpected costs	Medium	Low	Budget provision for elections	Accept risk; Clerk/RFO/Council

Risk Area	Identified Risks	Impact (H/M/L)	Probability (H/M/L)	How the Risk is Managed	Risk Assessment & Responsibility
AGAR	Late submission, errors, audit non-compliance	Low	Low	Internal and external audit; guidelines followed	Accept risk; Clerk/RFO/Council/Auditors
Statutory Documents, Data Protection, FOI, Transparency	Inaccurate documents, non-compliance with legal requirements	Low	Low	Policies reviewed annually; Clerk drafts documents; council approval; publication scheme ensures accessibility	Accept risk; Clerk/RFO/Council
Insurance	Inadequate coverage	Medium	Low	Annual review of policies covering staff, assets, facilities	Accept risk; Clerk/RFO/Council
Members	Conflicts of interest, conduct issues	Medium	Low	Declarations at each meeting; Code of Conduct training; monitoring officer oversight	Accept risk; Clerk/Council
Assets – Moveable	Theft, misuse, damage, obsolescence	Medium	Medium	Insured; CCTV; bi-annual asset inspections	Accept risk; Clerk/Council
Assets – Fixed	Vandalism, weather damage, public hazard	High	Medium	Bi-annual inspections; insurance; quality control for new purchases	Accept risk; Clerk/Council
Assets – Land	Vandalism, public hazard, legal liability, natural damage, invasive species	High	Medium	Bi-annual inspections; insurance; public safety measures; community engagement	Accept risk; Clerk/Council
Buildings – Dalton Town Hall (Leased)	Vandalism, fire/flood damage, deterioration	Medium	Low	Leased from Accent Housing; alarm & fire extinguisher checks; PAT testing; maintenance responsibilities divided	Accept risk; Clerk/Council/Landlord

Risk Area	Identified Risks	Impact (H/M/L)	Probability (H/M/L)	How the Risk is Managed	Risk Assessment & Responsibility
Events	Crowd control, accidents, weather disruption, logistics, compliance, public liability	High	Medium	Event risk assessments; security; insurance; emergency protocols; crowd management; post-event review	Accept risk; Clerk/Council
Volunteers	Accidents or injury, unsafe practices, lack of training, unsupervised work, insurance/liability issues	Medium	Medium	Volunteers receive induction and safety training; supervised by staff; PPE provided where needed; risk assessments conducted for volunteer activities; insurance covers volunteers; clear guidance and protocols in place	Existing procedures effective; Clerk/RFO/Council