

Berwick-upon-Tweed Town Council

Risk Register

| Ref | Objective | Description of risk | Pre-mitigation assessment | Mitigation | Post-mitigation assessment | Direction of Travel | Notes |
|------------|--|---|----------------------------------|---|-----------------------------------|----------------------------|--------------|
| 1.1 | Promote the economic growth of Berwick, Spittal and Tweedmouth | Poor perception of the Council leading to lack of engagement by potential partners and lack of inflow of funds. | High | Organisation of Investors' Conference. Active programme of securing third party funding. | Medium | | |
| 2.1 | Encourage people to visit Berwick, Spittal and Tweedmouth | Poor image of Berwick, Spittal and Tweedmouth discouraging visitors | High | Steps to promote Berwick, Spittal and Tweedmouth as a place to visit | High | | |
| 2.2 | Encourage people to visit Berwick, Spittal and Tweedmouth | Poor transport link discouraging visitors | Medium | Dialogue with transport providers and other statutory bodies to secure improvements | Low | | |
| 3.1 | Maintain the environment of Berwick, Spittal and | Poor perception of the Council leading to lack | High | Neighbourhood plan. | Medium | | |

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| | Tweedmouth | of impact with key players. | | Specific funding to support environmental improvement initiatives. | | | |
| 3.2 | Maintain the environment of Berwick, Spittal and Tweedmouth | Knock-on impact on the environment of low economic growth. | Medium | See under economic growth objective. | Medium | | |
| 4.1 | Maintain high standards of governance, integrity and transparency. | Risk of challenge to decision-making, complaints about conduct, additional costs in dealing with requests for information and reduced confidence in the Council. | High | Revised financial regulations drafted. | High | | Some of the issues will be addressed by implementation of recommendations of independent consultant on financial management. Need to monitor implementation of action plan. Identified commitment to demonstrate |

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| | | | | | | | consistently high standards. Tangible actions need to be identified and implementation monitored. |
| 5.1 | Adopt high standards of financial management. | Unauthorised transactions, irregularities, fraud or poor value for money more likely as a result of poor design and operation or system of internal financial controls | High | Financial Regulations and procedures in place but independent consultant identified problems with design and significant non-compliance. Adoption of action plan in response to recommendations of independent consultant. | High | | Some steps in the action plan in hand with assistance of independent consultant. Identified need to develop plans for implementation of other recommendations and monitor implementation. |
| 5.2 | Adopt high standards of financial | Loss of assets. | High | Insurance cover. Controls over | Medium | | Need to implement and monitor implementation of |

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| | management. | | | cash and bank, including dual signatures on cheques, but weaknesses identified in independent consultant's review. | | | independent consultant's recommendations recognised. Need to adopt an investment policy to diversify investments, reducing risk of loss. |
| 6.1 | Operate efficiently and effectively | Poor prioritisation, project management and skills utilisation leading to inefficiency and ineffectiveness. | High | Objectives drafted. | High | | Recognition of need to: <ul style="list-style-type: none"> - Agree and use objectives to manage the Council's business - Adopt project management approaches - Develop and use skills profiles - Improve |

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| | | | | | | | decision-making with better information, including risk assessments to inform decisions. |
| 7.1 | Be a good employer | <p>Low morale impacting on operational effectiveness.</p> <p>Financial settlements as result of actual or threatened legal action.</p> | High | <p>Development of performance management, including objectives, appraisals and personal development plans.</p> <p>Engagement of support on introduction of performance management arrangements.</p> <p>Development of HR policies.</p> | High | | Need to monitor implementation of agreed actions. |

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| 8.1 | Work in partnership with others | <p>Poor perceptions of the Council by partner organisations, hindering joint working.</p> <p>Historical tensions with potential partners, hindering joint working.</p> <p>Discontinuity in key players at partner organisations.</p> | High | | High | | Identified need to secure improvement by delivery, engagement, healing and inclusion. Need to convert to tangible, embedded mitigation. |
| 9.1 | Communicate clearly | Ineffective internal communication characterised by unstructured communication | High | | High | | <p>Identified need for protocols for internal communications.</p> <p>Scope to investigate</p> |

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| | | and excessive emails, leading to poor decision-making. | | | | | different ways of storing and using information to improve internal communications. |
| 9.2 | Communicate clearly | Ineffective external communications meaning that bad publicity is accentuated and good publicity is not and public confidence in the Council is reduced. | High | | high | | Identified need for external communications strategy. |
| 10.1 | Be a learning organisation | Failure to learn from experience meaning that improvement is not secured. | High | Engagement of independent consultant to review financial management and assist in implementation. Engagement of new internal | Medium | | Need to monitor implementation of previous recommendations from independent consultant and auditors. Need to identify further tangible |

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| | | | | auditors with wide remit to review design and operation of Financial Regulations. | | | steps to secure necessary cultural change so that the Council is a 'learning organisation' |