



## SANDOWN TOWN COUNCIL

### RISK MANAGEMENT

#### **Definition of Risk Management**

Risk is the threat that an event or action will adversely affect an organisation's ability to achieve its objectives and to successfully execute its strategies. Risk management is the process by which risks are identified, evaluated and controlled. It is a key element of the framework of governance together with community focus, structures and processes, standards of conduct and service delivery arrangements.

#### **Purpose of Document:**

This document has been produced to enable the council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them. In conducting this exercise, the following plan was followed:

- Identify the areas to be reviewed
- Identify what the risk may be
- Evaluate the management and control of the risk and record all findings
- Review, assess and revise if required.
- Risk levels, high, medium and low ( H,M,L).

<b>MANAGEMENT</b>				
<b>Subject</b>	<b>Risk(s) Identified</b>	<b>Level</b>	<b>Management/ Control of Risk</b>	<b>Review/Assess/Revise</b>
<b>Forward planning</b>	<p><b>The council does not have or work to, any forward plans. Decisions are being made as and when needed without any long-term planning. Relying on immediate responses and ad hoc decisions as short-term fixes is not good governance and often cost more expense and work in the long run.</b></p> <p>In 2019, there is still no forward plan and the risk is increasing with projects being agreed with no account of the timescales, capacity of the 'normal' workload of staff in addition.</p>	<b>H</b>	<p>The council must have and work to a forward plan.</p> <p>As a minimum this should be for at least the duration of the term of office.</p> <p>This was reported and agreed in Feb 2018 but not actioned.</p>	<p>Agree a forward plan</p> <p>Review quarterly</p> <p>Revise prior to budget.</p>
<b>Risk Assessments</b>	<p>There is no evidence the council regularly undertakes risk assessments. These are not just for health and safety measures but should include the legal, financial and long term implications for proposed projects, refurbishments and /or future acquisitions.</p> <p>This must be implemented in 2020</p>	<b>H</b>	<p>A risk assessment of the all assets owned by the Town Council should be undertaken annually.</p> <p>A risk assessment must accompany any proposed large projects or acquisitions before any decision or financial expenditure is made.</p>	<p>Review at least annually</p>
<b>Business Continuity</b>	<p>Council not being able to continue its business due to an unexpected or tragic circumstance.</p> <p>Procedures are not collated into a central location and multiple copies</p>	m	<p>All files and recent records are kept in the office.</p> <p>The clerk makes regular back up of data files.</p> <p>IW SLCC Secretary available for advice and locum support for key staff at short notice.</p>	<p>Review when necessary</p> <p>Ensure procedures below are undertaken</p>

<b>MANAGEMENT</b>				
<b>Subject</b>	<b>Risk(s) Identified</b>	<b>Level</b>	<b>Management/ Control of Risk</b>	<b>Review/Assess/Revise</b>
	<p>of documents exist in different locations</p> <p>ICT equipment is outdated and very slow, falling over regularly and reducing productivity.</p>		<p>File Map</p> <p>Central list of ongoing and regular tasks.</p> <p>Central procedures.</p> <p>Register of Policies and Licenses.</p> <p>Updated ICT equipment</p>	
<b>Meeting location</b>	<p>Adequacy</p> <p>Health and Safety</p> <p>Microphones do not function correctly limiting public ability to hear discussion.</p>	M	<p>Since April 2018, all meetings are now held in the Broadway Centre which has a full risk assessment of the premises and is fully compliant.</p> <p>Blinds fitted to all windows to ensure privacy.</p> <p>Microphone system needs to be repaired or replaced.</p>	<p>Existing procedures are adequate.</p> <p>Existing procedures adequate.</p>
<b>Council Records</b>	Loss through theft, fire, damage	L	<p>Some older records are retained at the IW County Record store.</p> <p>All records kept in council office storeroom and document retention policy implemented.</p>	Fire alarm in situ – doors all securely locked in offices when vacated.
<b>Council Records electronic</b>	There is no off-site or automated back-up of electronic files.	H	<p>Cloud back up to be arranged.</p> <p>Adequate antivirus protection to be in place.</p>	External hard drive back-up of electronic files produced and kept in safe.
<b>Clerk</b>	<b>Loss of qualified clerk</b>	<b>M</b>	<p>The council must understand and support the Clerk's role. Councillors must adhere to their own specific roles and responsibilities only and not interfere with the Clerk's.</p> <p>Deputy Clerk position created, and appointment made to remove single point of failure and provide succession planning.</p>	Councillor training must be undertaken.

<b>MANAGEMENT</b>				
<b>Subject</b>	<b>Risk(s) Identified</b>	<b>Level</b>	<b>Management/ Control of Risk</b>	<b>Review/Assess/Revise</b>
	Loss of General Power of Competence	H	Reserves should be held to enable training for the Cilca qualification in the event of the experienced clerk resigning and an unqualified person employed as replacement ( bearing in mind that it would take at least 1-2 years to obtain the required qualification).Deputy Clerk to also undertake training.	Adequate reserves held
	Fraud	M	The requirements of Fidelity Guarantee insurance must be adhered to	Adequate
	Training	M	The Clerk should be provided with training as requested, reference books, access to assistance and legal advice via SLCC and time to attend IWSLCC training and meetings and research.	Purchase revised reference books, renew Membership of SLCC and provide and pay for Clerk's time to read and research information.

<b>PHYSICAL EQUIPMENT OR AREAS</b>				
<b>Area</b>	<b>Risk</b>	<b>Level</b>	<b>Control of risks</b>	<b>Review/Assess/Revise</b>
<b>Assets</b>	Loss or Damage Risk/damage to third party(ies) property	L	An annual review of assets is undertaken for insurance provision and maintenance schedule	Existing procedures now adequate
		M	Noted that in 2017 assets disposed without record taken and register unavailable.  Standing Orders refer to procedure for asset disposals.	Existing procedures now adequate
<b>All equipment Seats/Signs Toilets Play area</b>	Vandalism and accidental damage	M	Insured against theft and damage. Regular inspections of playground/skate park areas Inspections training undertaken by staff in 2018	Insurance adequate and increased when new equipment installed

	Inspections, on-going maintenance and repair.		<p>All repairs and relevant expenditure for repairs are auctioned /authorised in accordance with Standing Orders.</p> <p>All Leases/licences held in filing cabinet for review as required and proof of ownership</p> <p>Any damage logged. RoSPA inspection undertaken annually</p> <p>Inspections to be contracted or training undertaken for completion in house. Maintenance schedule to be created and monies needed to be allocated for ongoing maintenance, this should also be considered when equipment is installed.</p>	Annual risk assessments on all facilities and equipment undertaken
--	---	--	--	--

<b>LEGAL LIABILITY</b>				
<b>Area</b>	<b>Risk</b>	<b>Level</b>	<b>Control of Risk</b>	<b>Review /Assess/Revise</b>
<b>Legal Powers</b>	Illegal activity or payments	L	All activity and payments made within the powers of the Town Council (not ultra vires) and to be resolved and clearly minuted.	Existing standing orders and financial regulations are adequate.
	Committees / Working Parties	M	Ensure established with clear terms of reference to limit any councillor acting beyond their remit.	Existing procedures adequate if councillors adhere to the rules.
<b>Council meetings</b>	Legality	L	Minutes and Agenda are produced in the prescribed timescale by the Clerk and adhere to legal requirements.	Existing procedures adequate Members adhere to rules and the Code of Conduct
	Non compliance with statutory requirements	L	Minutes are approved and signed at the next Council meeting and displayed according to the legal requirements.	
	Business Conduct	M	Business at meetings should be managed by the Chair. Councillors should adhere to the rules and regulations.	All Chairmen should undertake training to understand the role.
	Recording of council business – Poor quality and poor practice	M	Any councillor personally undertaking recordings of meetings for social media purposes should ensure that all councillors, including themselves, are clearly identifiable both visibly and audibly. Alternatively, the Town Council could consider	Review .

