



SANDOWN TOWN COUNCIL

RISK REGISTER

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)

MANAGEMENT RISKS

Subject	Risk(s) Identified	Level	Management/ Control of Risk	Review/Assess/Revise
Forward planning	The council recognises the need to make informed decisions in a planned and sustainable way, to avoid reactive responses and short-term fixes that may cost more in the longer term.	M	<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>In 2021, members met and agreed priorities for short, medium and longer terms, in line with public consultation, and established working parties, involving stakeholders and taking forward priorities to timescales, and reflected in budget.</p> <p>This was reviewed again in May 2022. It was agreed the existing working party structure would take forward identified priorities over the term of the Council.</p> <p>The working parties workstreams were reviewed after annual council and updates are reported to every council meeting.</p> <p>The council has also committed resource to a Bay place plan and Highstreet Task Force initiative to take forward regeneration.</p>	<p>Risk to be reassessed annually prior to budget.</p> <p>Working parties progress to be reviewed at each meeting. Workstreams to be reviewed at least annually.</p>
Risk Assessments	Risk assessments are now in place for all the councils' provisions and are undertaken for each event.	M	Risk Assessment should be reviewed on annually.	Review at least annually
Business Continuity	<p>Council not being able to continue its business due to an unexpected or tragic circumstance.</p> <p>Due to change in staff records lost or information forgotten.</p>	M	<p>All files and recent records are kept in the office. All ICT equipment has been updated, VOiP has been introduced and staff can work from home effectively subject to access to hard copy documents.</p> <p>The clerk makes regular back up of data files. Historical records have been logged and archived.</p>	<p>Review when necessary</p> <p>Ensure procedures below are undertaken</p>

Subject	Risk(s) Identified	Level	Management/ Control of Risk	Review/Assess/Revise
			<p>Work is underway to identify all licenses and contracts, create a file map and procedures including:</p> <p>File Map Central list of ongoing and regular tasks. Central procedures. Register of Licenses.</p>	
Meeting location	<p>Adequacy Health and Safety Lack of accessibility.</p>	L	<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 in meeting room.</p> <p>In 2022, ambient hearing loop replaced and wireless conference system installed for accessibility purposes.</p>	<p>Existing procedures are adequate.</p> <p>Existing procedures adequate.</p> <p>Review annually and make capital provision for service and maintenance and replacement.</p>
Council hard copy Records	Loss through theft, fire, damage	L	<p>Fire alarm system installed.</p> <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> <p>The majority of files are now kept digitally in cloud based storage which is backed up monthly.</p>	<p>Existing procedures are adequate.</p> <p>Ensure regular back-ups are undertaken and where possible important documents are scanned.</p>
Council Records electronic	Loss of records through equipment failure.	L	<p>Documents are stored on the cloud and backed-up to an external drive monthly. The back-ups are checked at least annually to ensure they can be accessed.</p> <p>Adequate antivirus protection to be in place.</p>	External hard drive back-up of electronic files produced and kept in safe.
Clerk/RFO	Loss of qualified clerk	M	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.	Councillor training must be undertaken.

Subject	Risk(s) Identified	Level	Management/ Control of Risk	Review/Assess/Revise
	<p>Loss of General Power of Competence</p> <p>Training – Risk of officers knowledge becoming outdated.</p> <p>Absence due to illness</p>	<p>M</p> <p>H</p> <p>H</p> <p>H</p>	<p>RFO/Deputy Clerk position created, and appointment made to remove single point of failure and provide succession planning.</p> <p>Reserves should be held to enable training for CILCA qualifications 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).</p> <p>The Clerk/s 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. Due to capacity issues it is becoming increasingly difficult for staff to undertake CPD.</p> <p>Staffing structure does not have capacity to cover any long-term absence or vacancy in the team. This is putting pressure on remaining team members and impacting on health and wellbeing.</p> <p>Members behaviours are creating a highly stressful working environment with officers being criticised in public forums and issues which have been previously resolved repeatedly being raised. This increases the risk of additional staff absence which will have a domino effect.</p>	<p>RFO/Deputy clerk appointed.</p> <p>RFO holds relevant qualification.</p> <p>Purchase revised reference books, renew Membership of SLCC and provide and pay for Clerk’s time to read and research information and undertaken training.</p> <p>Accept lower levels of services due to absence and capacity due to budget constraints.</p> <p>Members be reminded of member officer protocols and HR policies.</p>
Reputational Damage	Challenge to officers	H	Criticism and challenge to officers casts the council in a bad light. Polices, protocols and procedures should be followed to manage and mitigate this risk and ensure only accurate information is published.	

FINANCIAL RISKS

Fraud, loss through theft or dishonesty.	Fidelity Guarantee insurance Banking arrangements.	M L	The requirements of Fidelity Guarantee insurance must be adhered to. Internal controls in place; payments, receipts and banking reconciliations checked monthly by nominated members and reported to council at each meeting. Standing orders and financial regulations.	
Proper financial records	Records must be held in accordance with statutory requirements	L	Records reviewed by councillors regularly and audited annually by internal auditor. RFO is qualified.	
Borrowing	Complying with restrictions	L	Reviewed by internal audit and approved by council.	
Employment Law and HMRC obligations	Ensuring all requirements are met.	L	Reviewed by Internal Audit.	
VAT	Ensuring all requirements are met.	L	Clerks trained regularly, professional advice sort on large projects, reviewed by internal audit.	
Annual Precept	Ensuring accuracy within sound budgeting arrangement	L	Capital and maintenance costs	
Procurement	Risk of challenge	L	Standing orders and financial regulations outline requirements for procurement.	
Financial Resilience	There is a risk that the Councils financial resilience is insufficient to withstand the changing economic climate and increased cost and demand pressures.	L	Expenditure against budget and banking reconciliations reviewed by council at every meeting. As a smaller authority best practice does not require the council to produce a Medium-Term Financial Strategy. However, council should monitor this position.	Review position as part of budget setting process.

RISKS RELATING TO PHYSICAL EQUIPMENT OR AREAS

Area	Risk	Level	Control of risks	Review/Assess/Revise
Assets	Loss or Damage Risk/damage to third party(ies) property Public Liability	M	Asset register is updated on purchase of a new asset and reviewed in full annually. This informs the insurance provision and maintenance schedule. Standing Orders refer to procedure for asset disposals. All repairs and relevant expenditure for repairs are actioned /authorised in accordance with Standing Orders. All Leases/licences held in filing cabinet for review as required and proof of ownership Tri-annual property valuations should be undertaken. Insurance schedule should be reviewed annually.	Existing procedures now adequate.
All equipment Seats/Signs Toilets Play area	Vandalism and accidental damage Increased anti-social behaviour has been experienced. Public Liability inspections, on-going maintenance and repair.	M	Insured against theft and damage. Regular inspections of playground/skate park areas Inspections are on going, weekly by IWC Environment Officer, Quarterly by Maintenance Provider and Annually by ROSPA. Inspection and maintenance logs should be retained. New toilet facilities designed to reduce instances of vandalism. Any damage logged. Maintenance schedule to be created and monies needed to be allocated for ongoing maintenance, this should also be considered when equipment is installed.	Insurance adequate and increased when new equipment installed CCTV to be considered/increased across sites. Annual risk assessments on all facilities and equipment undertaken

RISKS RELATING TO LEGAL LIABILITY

Area	Risk	Level	Control of Risk	Review /Assess/Revise
Legal Powers	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.
	Grants – ensuring grants awarded via specific powers or sections 137 (unless GPC appropriate)	M	Grants should be awarded by full council following confirmation from officers of relevant power. Decision is clearly minuted.	
Council meetings	Legality	L	Minutes and Agenda are produced in the prescribed timescale by the Clerk and adhere to legal requirements.	Existing procedures adequate
	Non-compliance with statutory requirements	L	Minutes are approved and signed at the next Council meeting and displayed according to the legal requirements.	Members must adhere to rules and the Code of Conduct
	Business Conduct	M	Business at meetings should be managed by the Chair. Councillors should adhere to the rules and regulations.	All Chairs should undertake training to understand the role. It is also recommended all Cllrs undertake Councillor training too.
	Recording of council business – Poor quality and poor practice	M	Recordings of meetings for social media purposes should ensure that all councillors, are clearly identifiable, when possible. Alternatively, the Town Council could consider purchase of suitable equipment to record the meetings to an acceptable standard.	Review as appropriate.
Members interests	Conflict of interests	M	Councillors have a duty to declare any interest either at the start of the meeting or during the meeting, if necessary.	Existing procedures adequate
	Register of members interest	M	Register of interest forms to be reviewed annually	Members take responsibility to update their own Register.
Safe keeping of Council Document	Proper document control	L	Documents are held in locked cabinets or on a password protected device.	Existing procedures adequate

Area	Risk	Level	Control of Risk	Review /Assess/Revise
			All other data is stored in compliance with the Data Protection Act Policy and GDPR Policies in place for management of documents.	
Rights of Inspection		L	Website/Policy	Polices reviewed annually. Website reviewed and updated regularly.
Compliance with Transparency code.		L	Clerks to stay up to date with legislative changes. Data published quarterly following council approval.	Existing procedures adequate
Register of Members interests and Gifts and Hospitality.	Members to no respond to requests for updates and councils' reputation is damaged	L	Clerks circulate reminders annually and advice when made aware of change.	Annually and as required.
Performance Management		L	Councillors monitor review budget and progress against priorities (through working parties) at each meeting and annually.	Existing procedures adequate

APPROVAL AND REVIEW

Date of Meeting approved: 6 February 2023	Minute no: 54-2022/2023(6)	Date of Next review: February 2024
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