



**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
<p><b>Forward planning</b></p> <p><b>NEW COUNCIL</b></p>	<p>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.</p>	<p><b>H</b></p>	<p>The council must have and work to a forward plan which aligns with the budget.</p> <p>As a minimum this should be for at least the duration of the term of office.</p> <p>Following the 2025 Elections priorities for short, medium and longer terms should be established, in line with public consultation and work with partners and stakeholders. Timescales for taking forward priorities should be established.</p>	<p>Risk to be reassessed annually prior to budget.</p> <p>Progress should reviewed at each meeting. Priorities to be reviewed at least annually.</p> <p>When best practice requires it, a medium-term financial strategy be produced.</p>
<p><b>Risk Assessments</b></p>	<p>Risk assessments are now in place for all the councils' provisions and are undertaken for each event.</p>	<p><b>M</b></p>	<p>Risk Assessment should be reviewed on an annual basis with assurance from a qualified individual sought tri-annually.</p>	<p>Review at least annually.</p> <p>Last third-party review 2023 (IWC). Next 2026.</p>
<p><b>Business Continuity</b></p>	<p>Council not being able to continue its business due to unexpected or tragic circumstance.</p> <p>Due to change in staff records lost or information forgotten.</p>	<p><b>H</b></p> <p><b>H</b></p>	<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>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>	<p>Review when necessary</p> <p>Ensure procedures below are undertaken</p> <p>Capacity and staffing issues have delayed this process, which should be prioritised by the next council.</p>

Subject	Risk(s) Identified	Level	Management/ Control of Risk	Review/Assess/Revise
<b>Meeting location</b>	Adequacy Health and Safety Lack of accessibility.	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, the 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>
<b>Council hard copy Records</b>	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. Archived records are catalogued and indexed.</p> <p>The majority of files are stored digitally with all files being backed up to a cloud based third party solution with daily back-ups received.</p>	<p>Existing procedures are adequate.</p> <p>Ensure where possible important documents are scanned.</p>
<b>Council Records electronic</b>	Loss of records through equipment failure.	L	<p>Documents are stored on the cloud and backed up to a cloud based third party solution with daily reports received.</p> <p>Adequate antivirus protection to be in place. ICT now outsourced. An external company has been engaged to manage ICT.</p>	<p>Ensure back-up reports are checked daily.</p>

<b>Clerk/RFO</b>	Loss of qualified Clerk/RFO	L	<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>	<p>Councillor training must be undertaken.</p> <p>Deputy clerk appointed.</p>
	Loss of General Power of Competence	M	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).	Clerk and Deputy Clerk hold relevant qualification.
	Training – Risk of officers knowledge becoming outdated.	H	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>Up-to-date reference books purchased and memberships renewed annually.</p> <p>Officers should have time to read and research information and undertaken training.</p>



## FINANCIAL RISKS

Subject	Risk(s) Identified	Level	Management/ Control of Risk	Review/Assess/Revise
<b>Fraud, loss through theft or dishonesty.</b>	Fidelity Guarantee insurance	M	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 the council at each meeting.	
	Banking arrangements.	L	Standing orders and financial regulations.	
<b>Proper financial records</b>	Records must be held in accordance with statutory requirements	L	Records reviewed by two appointed councillors monthly and Finance Committee every meeting. Accounts are audited annually by internal auditor.  Clerk/RFO is CILCA qualified.	Consideration should be given to an interim internal audit given the increased budget and number of projects being undertaken.
<b>Borrowing</b>	Complying with restrictions	L	Reviewed by internal audit and approved by council.	Council's reserves are held at six months to reflect high level of borrowing.
<b>Employment Law and HMRC obligations</b>	Ensuring all requirements are met.	M	Reviewed by Internal Audit.	Consideration should be given to training Clerk/Deputy on HR matters annually to ensure they are up to date on changes to the law.
<b>VAT</b>	Ensuring all requirements are met.	L	Officers trained regularly, professional advice sought on large projects, reviewed by internal audit.	
<b>Annual Precept</b>	Ensuring accuracy within sound budgeting arrangement	L	Budget includes detailed breakdown of income and expenditure. Capital and maintenance costs are budgeted.	
<b>Procurement</b>	Risk of challenge	L	Standing orders and financial regulations outline requirements for procurement.	

## RISKS RELATING TO PHYSICAL EQUIPMENT OR AREAS

Area	Risk	Level	Control of risks	Review/Assess/Revise
<b>Assets</b>	Loss or Damage Risk/damage to third party(ies) property Public Liability	H	<p>Risk is inherent when operating public spaces.</p> <p>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.</p> <p>All repairs and relevant expenditure for repairs are actioned /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>Tri-annual property valuations should be undertaken (undertaken in 2025)</p> <p>Insurance schedule should be reviewed annually.</p>	<p>Existing procedures adequate.</p> <p>Leases and Licences should be scanned and held electronically.</p> <p>Revaluations should be scheduled and budgeted for in 2028.</p>
<b>All equipment Seats/Signs Toilets Play area</b>	<p>Vandalism and accidental damage</p> <p>Increased anti-social behavior has been experienced.</p> <p>Public Liability</p> <p>Inspections, on-going maintenance and repair.</p>	H	<p>Risk is inherent given current levels of criminal and antisocial behavior nationally.</p> <p>Insured against theft and damage.</p> <p>New toilet facilities designed to reduce instances of vandalism.</p> <p>CCTV has been installed across all sites.</p> <p>Regular inspections of playground/skate park areas Inspections are on going, weekly by IWC Environment Officer, Quarterly by Maintenance Provider and Annually by ROSPA.</p> <p>Inspection and maintenance logs should be retained.</p> <p>Maintenance schedule to be created and monies needed to be allocated for ongoing maintenance, this should also be considered when equipment is installed.</p>	<p>Insurance adequate and increased when new equipment installed</p> <p>Annual risk assessments on all facilities and equipment undertaken</p>

## RISKS RELATING TO LEGAL LIABILITY

Area	Risk	Level	Control of Risk	Review /Assess/Revise
<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. Council holds GPC.	Existing standing orders and financial regulations are adequate.
	Committees / Working Parties	M	Ensure established with clear terms of reference to limit any councilor acting beyond their remit.	Existing procedures adequate if councilors adhere to the rules.
	Grants	M	Grants should be awarded by full council. Decision must be clearly minuted.	
<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
	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	L	Business at meetings should be managed by the Chair. Councilors should adhere to the rules and regulations.	All councilors should undertake Chair training to understand the role.
	Recording of council business – Poor quality and poor practice	L	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.

Area	Risk	Level	Control of Risk	Review /Assess/Revise
<b>Members interests</b>	Conflict of interests	L	Councillors have a duty to declare any interest either at the start of the meeting or during the meeting, if necessary.	Existing procedures adequate
		H	Dual Hatters	Councillors who are also Isle of Wight Council ward members should clearly disclose if they are acting as IWC members and should not seek to influence where they have a conflict.
	Register of members interest	M	Any changes should be notified within 28 days. Register of interest forms to be reviewed annually. Officers send an annual reminder.	Members take responsibility to update their own Register.
<b>Safe keeping of Council Documents</b>	Proper document control	L	Documents are held in locked cabinets or on a password protected device.  All other data is stored in compliance with the Data Protection Act Policy and GDPR Policies in place for management of documents.	Existing procedures adequate
<b>Rights of Inspection</b>		L	Website/Policy	Polices reviewed annually. Website reviewed and updated regularly.
<b>Compliance with Transparency code.</b>		L	Clerks to stay up to date with legislative changes. Data published quarterly following council approval.	Existing procedures adequate
<b>Register of Members interests and Gifts and Hospitality.</b>	Members failing to 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.
<b>Performance Management</b>		L	Councillors monitor review budget and progress against priorities (through working parties) at each meeting and annually.	Existing procedures adequate

**APPROVAL AND REVIEW**

<p><b>Date of Meeting approved:</b> 26 January 2026</p>	<p><b>Minute no:</b> 95-2025/2026 (a)</p>	<p><b>Date of Next review:</b> January 2027</p>
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