

SANDGATE PARISH COUNCIL

RISK REGISTER

Reviewed and agreed: Full Council Committee meeting 18th April 2023

To be reviewed April 2024

| RISK | RESPON-SIBLE OFFICER | IMPACT | L | M | H | Risk response | Controls |
|---|----------------------|--|---|---|---|------------------------------|---|
| Strategic Management Adequacy of precept in order for the Parish Council to carry out its statutory duties | Clerk | Possible legal action/ dissatisfaction of public/ | 1 | 1 | 1 | Existing procedures adequate | To determine the precept amount, the council regularly receives budget reviews throughout the year and at the time the precept amount is considered. Monthly figures are produced including the present position and projected future costs and with this information the Parish Council decides the amount of precept required for the following financial year. |
| Strategic Management Failure to respond to legislation or comply with regulations and censure from external bodies | RFO/PC | Possible legal action, possible adjustments to systems, resource costs | 1 | 1 | 1 | Treat/ monitor | Access to legal and update advice and information through SLCC (clerks are members); insurance cover gives some protection. |

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| Strategic Management Failure of financial processes and reporting | RFO | Decisions taken without full information; members and officers not properly informed on financial matters, potential threat to council resources/ reputation | 1 | | | Treat/ monitor | Annual financial statements by RFO; checks by internal and external auditors; budget monitoring reports to Finance Committee |
| Strategic Management Failure of internal controls | RFO | Potential for fraud/ theft | 1 | | | Treat/ monitor | Insurance cover; internal audit; staff training and monitoring |
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| Resources Management Planning applications and other consultations not responded to within timescale | PC | Views of council not taken into consideration resulting in developments/ projects not being amended to the benefit of the residents | 1 | | | Treat/ monitor | Planning Committee meets circa 20 times per years. |
| Resources Management Breach of confidentiality | PC | Confidential documents in the public domain could result in third party claims/ loss of | 1 | | | Treat/ monitor | Registered under Data Protection Act. Confidentiality clause in contracts where necessary. Codes of Conduct apply. |

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| | | public faith in the Council. | | | | | |
| Resources Management Resources Management Legal proceeding against the Council | PC | Reputation of the Council put at risk; potential resource impact | 1 | | | Treat/ monitor | Access to legal advice through SLCC and NALC/KALC. Insurance cover gives some protection. |
| Resources Management Resources not able to meet Council priorities/ needs | RFO | Vision, aims and objectives not able to be met | 1 | | | Treat/ monitor | Planned budget includes allocations for year ahead including reserves at recommended level. |
| Resources Management Resources Management Major budget overspend/ variation | RFO | Interruption or termination of projects | 1 | | | Treat/ monitor | Earmarked and general reserves |
| Resources Management Reduction in income | RFO | Increase in net costs | 1 | | | Treat/ monitor | Planned budget; prudent estimates for income; regular monitoring by RFO and Finance Committee |
| Resources Management Ineffective management and utilisation of assets | RFO | Assets not used to their full potential resulting in unnecessary additional costs | 1 | | | Treat/ monitor | Asset management in place; staff and councillors all pay close attention to maximising use |
| Resources Management Failure of IT systems | PC | Interruption of services. | 1 | | | Treat/ monitor | Support arrangements in place. All computers backed up. |

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| Resources Management Serious breach of IT security | PC | Interruption of services. | 1 | | | Treat/ monitor | Computers firewall and password protected |
| Resources Management Loss or disclosure of personal data or confidential information | PC | Reputation impact; compensation claims | 1 | | | Treat/ monitor | Data protection; training; firewall |
| Resources Management Interruption of power supply | PC | Interruption of services. | 1 | | | Treat/ monitor | Computer data backed up immediately by Onedrive |
| Resources Management Loss of key skills for significant period (illness/ resignation) | PC | Service impact | 1 | | | Treat/ monitor | A small staff base means there is not the capacity to significantly increase workload without increasing that base. However flexibility exists within part time working and good network of potential local workforce. |
| Resources Management Resources Management Serious injury or death of member of staff or public | PC | Legal action against Council; loss of public support; resource implications; loss of reputation; closure of services if deemed unsafe | 1 | | | Treat/ monitor | Appropriate insurances in place; buildings/ equipment serviced regularly; open spaces maintained; H&S regime in place; regular inspections |

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| Resources Management Industrial tribunal | PC | Resource implications; poor press; impact on workforce and council during tribunal | 1 | | | Treat/ monitor | Council supported by informal HR arrangements; access to legal advice |
| Resources Management Fraud or theft | RFO | Loss of revenue; reputational damage | 1 | | | Treat/ monitor | Strong internal control systems; internal audit checks |
| Resources Management Failure of equipment | PC | Service interruption | 1 | | | Treat/ monitor | Regular maintenance |
| Resources Management Major emergencies/ situations | PC | Service disruption; lost revenue; relocation costs; reinstatement costs | 1 | | | Treat/ monitor | Emergency plan in place; work in conjunction with SDC emergency planning officer. |
| | | | | | | | |
| Municipal Building/Library Failure to collect income | RFO | Below expected income on other budgets | 1 | | | Treat/ monitor | Budget monitoring reports to Finance Committee and RFO review and monitor income and expenditure monthly. Audit trail in place. |
| Municipal Building/Library Lack of adequate insurances | RFO | Claims against the Council which are not covered resulting in | 1 | | | Treat/ monitor | Insurance reviewed annually |

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| | | additional expenditure not budgeted for. | | | | | |
| Municipal Building/Library Vandalism in library | RFO | Reduced use, additional expenditure, poor image | 1 | | | Treat | Library alarmed. Daily inspections. Insurance reviewed annually. Repairs undertaken as quickly as possible. |
| Municipal Building/Library Inadequate library budget provision | RFO | Routine and essential maintenance not undertaken resulting in reduced use and health and safety issues. | 1 | | | Treat | Budgets reviewed annually |
| Municipal Building/Library Personal injury | PC | Significant claims resulting in higher insurance premiums and loss of reputation | | 2 | | Treat/ monitor | Staff undertake frequent visual inspections and deal with problems. Equipment PAT tested |
| Municipal Building/Library Public Buildings not maintained | PC | Fabric of buildings deteriorates resulting in complaints and poor image | | 2 | | Treat/ monitor | Buildings monitored and reviewed. |
| Municipal Building/Library Lack of security | RFO | Theft and damage resulting in reduced usage and reputational | 1 | | | Treat/ monitor | Regular banking; cash secured; library alarmed; security for regalia; set keyholders. |

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| | | damage. Higher insurance premiums | | | | | |
| Municipal Building/Library Failure to review or collect library charges and income | PC/Librarian | Reduced income to the Council and out of date charges | 1 | | | Treat/ monitor | Charges reviewed annually. Internal audit checks. |
| Municipal Building/Library Significant damage to building | RFO | Interruption of service; reduced income; disruption | | 2 | | Treat/ monitor | Rigorous H&S regime; electrical tests carried out as required, modern standards maintained; building staffed when open; financial reserves in place. |
| Municipal Building/Library Asbestos management | RFO | Danger to health; disruption to services; loss of income; possible insurance claims | | 2 | | Treat/ monitor | Asbestos management plan in place. |
| | | | | | | | |
| Sandgate Park/ Fremantle Park Inadequate inspection/ maintenance records | RFO | Cannot be sure and prove that equipment has been checked or is safe or have early identification of future repairs/ renewals resulting in accidents, possible claims against | | 2 | | Treat/ monitor | Recorded inspection of play areas carried out weekly. Further independent play area inspection carried out by fully qualified contractor |

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| | | the Council and unable to plan for expenditure | | | | | |
| Sandgate Park/ Fremantle Park Provision of inadequate insurances | RFO | Required to protect the Council against significant claims | 1 | | | Treat/ monitor | Insurance reviewed annually. Play equipment covered for fire and impact damage. Public liability cover in place. |
| Sandgate Park/ Fremantle Park Vandalism/damaged equipment | RFO | Facilities unable to be used or equipment used resulting in an injury, additional expenditure and poor image. Possible compensation claim | | 2 | | Treat/ monitor | Monthly inspections of play equipment. Equipment made safe or removed as soon as possible after notification. Insurance in place. Police informed of serious acts of vandalism. |
| Sandgate Park/ Fremantle Park Inadequate budget provision | RFO | Routine and essential maintenance not undertaken resulting in reduced use and health and safety issues. Equipment not replaced and new equipment not purchased. | 1 | | | Treat/ monitor | Repairs and maintenance budgets reviewed annually. |
| Sandgate Park/ Fremantle Park Personal injury | RFO | Injuries to staff or public resulting in claims against the | | 2 | | Treat/ monitor | Written inspections undertaken. Equipment purchased with latest safety standards. Prompt investigation of any problem or incident. |

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| | | Council, legal proceedings or loss of reputation | | | | | |
| Sandgate Park/ Fremantle Park Inappropriate play equipment | RFO | Facilities not used/accidents resulting in criticism and possible claims against the Council | | 2 | | Treat/ monitor | Play equipment purchased from established play providers. Equipment purchased to latest safety standards. ROSPA standards applied. |
| Sandgate Park/ Fremantle Park Litter/dog mess | PC | Unightly, health and safety issue resulting in complaints and poor image. | 1 | | | Treat/ monitor | Dog run provided. Bins provided with regular collection. |
| Sandgate Park/ Fremantle Park Play areas not inclusive | RFO | Possible contravention of DDA and criticism from residents | 1 | | | Treat | New play equipment to seek to meet DDA standards |
| Sandgate Park/ Fremantle Park Falling damaged trees | RFO | Disruption to services and highways; damage to property and personal injury resulting in claims | | 2 | | Treat/ monitor | Weekly inspection/Annual review by FHDC tree officer |
| Sandgate Park/ Fremantle Park/Open Spaces | RFO | Negative image; complaints | 1 | | | Treat/ monitor | Grass cutting schedule maintained; caretaker inspection with liaison with district council. |

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| Dissatisfaction with maintenance | | | | | | | |
| Sandgate Park/ Fremantle Park/Open Spaces Injury claims: tripping/ falling on uneven paths | RFO | Cost of successful claim; increase in insurance costs; poor image/ reputation | | 2 | | Treat/ monitor | Weekly inspection by caretaker |
| Other Open Spaces Lack of adequate insurance | PC | Claim against the Council which are not covered | 1 | | | Treat/ monitor | Very limited areas; insurance reviewed annually. Weekly inspection by caretaker |
| Other Open Spaces Vandalism | RFO | Additional expenditure and poor image | 1 | | | Treat | Very limited areas. Weekly inspection by caretaker |