

SANDGATE PARISH COUNCIL

RISK REGISTER

Reviewed and agreed: Full Council Committee meeting 20th May 2024

To be reviewed May 2025

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.

RISK	RESPON-SIBLE OFFICER	IMPACT	L	M	H	Risk response	Controls
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
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				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.

RISK	RESPON-SIBLE OFFICER	IMPACT	L	M	H	Risk response	Controls
		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.

RISK	RESPON-SIBLE OFFICER	IMPACT	L	M	H	Risk response	Controls
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

RISK	RESPON-SIBLE OFFICER	IMPACT	L	M	H	Risk response	Controls
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

RISK	RESPON-SIBLE OFFICER	IMPACT	L	M	H	Risk response	Controls
		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.

RISK	RESPON-SIBLE OFFICER	IMPACT	L	M	H	Risk response	Controls
		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.

RISK	RESPON-SIBLE OFFICER	IMPACT	L	M	H	Risk response	Controls
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