

SANDGATE PARISH COUNCIL

RISK REGISTER

These Terms of Reference were agreed by the full Council on 19 May 2020 and recorded in the minutes.

Reviewed and agreed: Full Council Committee meeting 22nd April 2021- Agenda item 7

SUMMARY OF RISK AREAS			
Risk area	High	Medium	Low
<i>Strategic register</i>	0	4	0
<i>Operational registers</i>			
Play areas	0	6	2
Municipal buildings/Library	0	5	9
Open spaces	0	5	5
Resource management	0	9	6
TOTALS	0	29	22

Columns 4-6: P=probability; I=impact; T=total score (P x I)

RISK	RESPONSIBLE OFFICER	IMPACT	P	I	T	Controls in place	Risk response	Actions	Cost effect
STRATEGIC RISKS									
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	4	4	Access to legal and update advice and information through SLCC (clerks are members); insurance cover gives some protection	Treat/monitor		
Failure to maintain a robust/ legal decision making process	RFO/PC	Challenge to decisions, possible legal challenge	1	4	4	Access to legal and update advice and information through SLCC (clerks are members)	Treat/monitor		
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	3	3	Annual financial statements by RFO; checks by internal and external auditors; budget monitoring reports to Finance Committee	Treat/monitor		
Failure of internal controls	RFO	Potential for fraud/ theft	1	3	3	Insurance cover; internal audit; staff training and monitoring	Treat/monitor		
SANDGATE 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 the Council and unable to plan for expenditure	1	4	4	Recorded inspection of play areas carried out weekly. Further independent play area inspection carried out by fully qualified contractor	Treat/monitor	Members of the maintenance contractors are accredited.	
Provision of adequate insurances	RFO	Required to protect the Council against significant claims	1	4	4	Insurance reviewed annually. Play equipment covered for	Treat/monitor		

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RISK	RESPONSIBLE OFFICER	IMPACT	P	I	T	Controls in place	Risk response	Actions	Cost effect
						fire and impact damage. Public liability cover in place.			
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	3	6	Weekly recorded inspections. Equipment made safe or removed as soon as possible after notification. Insurance in place. Police informed of serious acts of vandalism.	Treat/monitor		
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	3	3	Repairs and maintenance budgets reviewed annually.	Treat/monitor		
Personal injury	RFO	Injuries to staff or public resulting in claims against the Council, legal proceedings or loss of reputation	1	4	4	Written inspections and risk assessments undertaken. Equipment purchased with latest safety standards. Prompt investigation of any problem or incident.	Treat/monitor	Following HSE guidelines, "Play providers deal with risk responsibly, sensibly and proportionately to safeguard play as it is in essence safe and beneficial".	
Inappropriate play equipment	RFO	Facilities not used/accidents resulting in criticism and possible claims against the Council	1	4	4	Play equipment purchased from established play providers. Equipment purchased to latest safety standards.	Treat/monitor	See above	

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RISK	RESPONSIBLE OFFICER	IMPACT	P	I	T	Controls in place	Risk response	Actions	Cost effect
						ROSPA standards applied.			
Litter/dog mess	PC	Unsightly, health and safety issue resulting in complaints and poor image.	1	2	2	Dog run provided. Bins provided with regular collection	Treat/monitor	Maintain	
Play areas not inclusive	RFO	Possible contravention of DDA and criticism from residents	1	2	2	New play equipment top seek to meet DDA standards	Treat	On renewal consider accessibility of play equipment	
Falling damaged trees	RFO	Disruption to services and highways; damage to property and personal injury resulting in claims	1	2	2	Weekly inspection	Treat/monitor		
Dissatisfaction with maintenance	RFO	Negative image; complaints	2	2	4	Grass cutting schedule maintained; caretaker inspection with liaison with district council	Treat/monitor		
Injury claims: tripping/ falling on uneven paths	RFO	Cost of successful claim; increase in insurance costs; poor image/ reputation	1	3	3	Weekly inspection by caretaker	Treat/monitor		
MUNICIPAL BUILDINGS/LIBRARY									
Failure to collect income	RFO	Below expected income on other budgets	1	2	2	Budget monitoring reports to Finance Committee and RFO review and monitor income and expenditure monthly. Audit trail in place.	Treat/monitor		
Lack of adequate insurances	RFO	Claims against the Council which are not covered resulting in additional expenditure not budgeted for.	1	2	2	Insurance reviewed annually	Treat/monitor		
Vandalism	RFO	Reduced use, additional expenditure, poor image	1	3	3	Library alarmed. Daily inspections. Insurance	Treat		

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RISK	RESPONSIBLE OFFICER	IMPACT	P	I	T	Controls in place	Risk response	Actions	Cost effect
						reviewed annually. Repairs undertaken as quickly as possible			
Inadequate budget provision	RFO	Routine and essential maintenance not undertaken resulting in reduced use and health and safety issues.	1	2	2	Budgets reviewed annually	Treat		
Personal injury	PC	Significant claims resulting in higher insurance premiums and loss of reputation	1	2	2	Staff undertake frequent visual inspections and deal with problems. Equipment PAT tested	Treat/monitor		
Double bookings	PC	Disappointment for customers	1	2	2	Automated system	Treat/monitor		
Buildings not maintained	PC	Fabric of buildings deteriorates resulting in complaints and poor image	1	2	2	Buildings monitored and reviewed	Treat/monitor		
Lack of security	RFO	Theft and damage resulting in reduced usage and reputational damage. Higher insurance premiums	1	1	1	Regular banking; cash secured; library alarmed; security for regalia; set keyholders	Treat/monitor		
Failure to review or collect charges	PC/Librarian	Reduced income to the Council and out of date charges	1	1	1	Charges reviewed annually. Internal audit checks.	Treat/monitor		
Significant damage to building	RFO	Interruption of service; reduced income; disruption	1	4	4	Rigorous H&S regime; electrical tests carried out as required, modern standards maintained; building staffed when open; financial reserves in place	Treat/monitor		
Asbestos management	RFO	Danger to health; disruption to services; loss of income; possible insurance claims	2	2	4	Asbestos management plan in place	Treat/monitor	Low level concern only; monitoring/ training/	

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RISK	RESPONSIBLE OFFICER	IMPACT	P	I	T	Controls in place	Risk response	Actions	Cost effect
								awareness	
OTHER OPEN SPACES									
Lack of adequate insurance	PC	Claim against the Council which are not covered	1	2	2	Very limited areas; insurance reviewed annually	Treat/monitor		
Vandalism	RFO	Additional expenditure and poor image	1	2	2	Very limited areas	Treat		
Personal injury	PC	Significant claims resulting in higher insurance premiums and loss of reputation	1	2	2	Very limited areas; insurance reviewed annually	Treat/monitor		
Fly tipping	RFO	Unightly and possibly hazardous; additional expenditure	2	2	4	Very limited areas. Liaison with District Council	Treat		
Litter/dog mess	RFO	Unightly; H&S; complaints and poor image	1	3	3	Very limited areas. Liaison with District Council	Treat/monitor		
Falling damaged trees	RFO	Disruption to services and highways; damage to property and personal injury resulting in claims	1	2	2	Very few trees the responsibility of the parish council	Treat/monitor		
RESOURCE 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	2	2	Planning Committee meets 20 times per years.	Treat/monitor		
Breach of confidentiality	PC	Confidential documents in the public domain could result in third party claims/ loss of public faith in the Council.	1	2	2	Registered under Data Protection Act. Confidentiality clause in contracts where necessary. Codes of Conduct apply	Treat/monitor		
Legal proceeding against the Council	PC	Reputation of the Council put at risk; potential resource impact	2	3	6	Access to legal advice through SLCC and NALC/KALC. Insurance cover gives	Treat/monitor		

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RISK	RESPONSIBLE OFFICER	IMPACT	P	I	T	Controls in place	Risk response	Actions	Cost effect
						some protection.			
Resources not able to meet Council priorities/ needs	RFO	Vision, aims and objectives not able to be met	1	3	3	Planned budget includes allocations for year ahead including reserves at recommended level.	Treat/monitor		
Major budget overspend/ variation	RFO	Interruption or termination of projects	1	2	2	Earmarked and general reserves	Treat/monitor		
Reduction in income	RFO	Increase in net costs	1	2	2	Planned budget; prudent estimates for income; regular monitoring by RFO and Finance Committee	Treat/monitor		
Ineffective management and utilisation of assets	RFO	Assets not used to their full potential resulting in unnecessary additional costs	1	2	2	Asset management in place; staff and councillors all pay close attention to maximising use	Treat/monitor		
Failure of IT systems	PC	Interruption of services.	1	3	3	Support arrangements in place. All computers backed up.	Treat/monitor		
Serious breach of IT security	PC	Interruption of services.	1	3	3	Computers firewall and password protected	Treat/monitor		
Loss or disclosure of personal data or confidential information	PC	Reputation impact; compensation claims	1	3	3	Data protection; training; firewall	Treat/monitor		
Interruption of power supply	PC	Interruption of services.	2	3	6	Computer data backed up immediately by Dropbox	Treat/monitor		
Loss of key skills for significant period (illness/ resignation)	PC	Service impact	2	3	6	A small staff base means there is not the capacity to significantly increase	Treat/monitor		

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RISK	RESPONSIBLE OFFICER	IMPACT	P	I	T	Controls in place	Risk response	Actions	Cost effect
						workload without increasing that base. However flexibility exists within part time working and good network of potential local workforce.			
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	4	4	Appropriate insurances in place; buildings/ equipment serviced regularly; open spaces maintained; H&S regime in place; regular inspections	Treat/monitor		
Industrial tribunal	PC	Resource implications; poor press; impact on workforce and council during tribunal	1	3	3	Council supported by informal HR arrangements; access to legal advice	Treat/monitor		
Fraud or theft	RFO	Loss of revenue; reputational damage	1	2	2	Strong internal control systems; internal audit checks	Treat/monitor		
Failure of equipment	PC	Service interruption	1	3	3	Regular maintenance	Treat/monitor		
Major emergencies/ situations	PC	Service disruption; lost revenue; relocation costs; reinstatement costs	1	4	4	Emergency plan in place; work in conjunction with SDC emergency planning officer	Treat/monitor		
SANDGATE WOODS AND MARTELLO TOWERS 6 AND 7									
Consultation	RFO	Failure to consult adequately	1	4	4	Detailed plan prepared	Treat/monitor		
Loan agreement	RFO	Failure to meet requirements of PWLB	1	4	4	Business case in place and approved by PWLB	Treat/monitor		
Legal issues	RFO	Failure to conclude	1	4	4	RFO to monitor	Treat/		

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		conveyancing to satisfactory level including protections to Parish Council and residents				closely in liaison with councillors	monitor		
Insurance	RFO	Insurance not adequate: difficult claims	1	3	3	RFO to put adequate insurance in place with insurers	Treat/monitor		
Maintenance of woodlands	RFO	Inadequate budgetary provision	1	3	3	RFO to ensure capital and revenue provision	Treat/monitor		
Implementation of restoration of Martello Towers	RFO	Public disappointment	1	4	4	Restoration can only take place in line with grants and other finance	Treat/monitor		

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