



Seaton Town Council Constitution

Chapter 8 – Risk Register

Reviewed - Monday, 2 March 2020

| Issue | Risk Identified | Level of Risk H/M/L | Management of Risk (Mitigating factors) | Officer Action | Reviewed level of risk |
|--------------|--|--------------------------------|---|-----------------------|-------------------------------|
| Governance | Quality of decision making – potential unlawful | M | Town Council constitution including regular reviews of Standing Orders, Financial Regulations etc. Updated 2019 and 2020. Training for Members. Also Membership and active involvement in National Association of Local Councils and Society of Local Council Clerks. | Town Clerk | L |
| | Inappropriate delegation | M | Town Council constitution including delegation to Committees and Town Clerk. Reviewed and updated December 2019. | Town Clerk | L |
| | Unclear member responsibility and accountability | M | Appropriate committee structure and clear lines of reporting. New Member training after 2019 co-options and similar training will be arranged for new elected/co-opted Members in 2020 | Town Clerk | L |
| | Appointments to member positions and outside bodies not made | L | Annual reports to committee and review of appointments. | Town Clerk | L |
| | Members on outside bodies unclear of roles (Trustee etc.) | M | Training and guidance/information from body to which members appointed will be arranged as necessary | Town Clerk | M |
| | Governance and regulatory documents not reviewed. | M | Reports to Council as required | Town Clerk | L |
| | Register of Interests for Members up to date | M | All Councillors complete new forms after 2020 election/co-options. Annual Review of Register entries | Town Clerk | L |
| Cash | Poor Systems and controls | M | Reviewed by Internal Auditor and risks identified rectified and internal control systems updated. | Town Clerk | L |
| | Waste and misappropriation of funds. | M | Appropriate supervision of staff and reporting to Councillors. | Town Clerk | L |

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| | Budget not approved and precept request not submitted | H | Full reporting to members with detailed report and presentation – meetings in annual schedule. | Town Clerk | L |
| | Adequate funds | H | Monitor actual expenditure to forecast and report regularly to Finance and General Purposes Committee and full Council as necessary. | Town Clerk | L |
| | Properly authorised payments | M | Authority to pay in line with Financial Regulations. Cheques signed by two councillors and all payments authorised by two Councillors. Financial Regulations updated 2020 | Town Clerk | L |
| | Theft, fraud and corruption | M | Training, management & insurance | Town Clerk | L |
| | Activities being outside of legal powers/unlawful payments | H | Training of Clerk and advice to members. | Town Clerk | L |
| Direct Costs | Goods not supplied to Town Council | M | Order system | Town Clerk | L |
| | Invoices incorrectly calculated | M | Detailed check of calculations | Town Clerk | L |
| | Cheque payments incorrect | M | 2 councillors sign & supporting invoice/information available | Town Clerk | L |
| | Online Payments | H | 2 councillors sign payment approval forms and Town Clerk & one other officer processes payments. Reviewed by Internal Auditor | Town Clerk | M |
| | Use of Debit Card | H | Use restricted to the Clerk and limited to a single transaction maximum value of £1,000 unless authorised by the Finance and General Purposes Committee, in writing, before any order is placed | Town Clerk | M |

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| Member Allowances | Wrong payment | L | Scheme of Allowances confirmed each year by Town Council as part of budget process | Town Clerk | L |
| | Income tax deduction | M | Tax codes as notified by HMRC and payments made as advised by Council's designated accountants. Payroll services going to be outsourced to EDDC in 2020 | Town Clerk | L |
| Grants | Authority and power to approve | M | Grant criteria/annual approvals through Council with a limit of £1,000 per grant | Town Clerk | L |
| | Conditions of grant | L | Grants include conditions, where Members consider it appropriate, and report back | Town Clerk | L |
| VAT | VAT analysis | M | All items recorded in financial accounting software reports as part of cash book lists. | Town Clerk | L |
| | Claimed within time limits | M | Quarterly returns submitted as soon as possible | Town Clerk | L |
| Reserves | Adequacy of earmarked and general reserves. | M | Agreed annually by Council – need to be kept under review by Finance & General Purposes Committee | Town Clerk | M |
| Assets | Loss, damage and value | M | Annual inspection, update insurance/review asset register and report to members | Town Clerk | M |
| Salaries | Wrongly paid salary | M | Agreed contracts and annual review of salaries and payment systems | Town Clerk | L |
| | Wrong tax, NI or pension deducted | M | Agreed contracts and annual review of salaries and payment systems | Town Clerk | L |
| Members | Members' Interests | M | Training on Code of Conduct including refresher training. | Town Clerk | M |
| Staff | Accidents/Personal injury | M | Injury book/visual checks of premises/health and safety checklist | Town Clerk | M |
| | Bullying | M | Staff Handbook and grievance procedures | Town Clerk | L |
| | Lack of communication | M | Regular meetings with office and outside staff | Town Clerk | L |

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| | Performance issues | M | Annual appraisals. Reports to Councillors or relevant committee as necessary | Town Clerk | L |
| | Knowledge not up to date or insufficient. | M | Staff training - ongoing and seek independent professional advice – legal, property etc. | Town Clerk | M |
| | Loss of key staff | M | Regular meetings/staff appraisals | Town Clerk | M |
| Financial Records | Inadequate records | H | Town Clerk to review and internal audit check | Town Clerk | L |
| Insurance | Insufficient cover for all responsibilities | M | Annual review of cover taking account of existing and new responsibilities. | Town Clerk | L |
| Procurement | Contracts not issued properly to ensure best value | M | Contract Standing Orders to be followed as part of Financial Regulations | Town Clerk | L |
| Minutes | Inaccurate and decisions not followed up | M | Minute review to ensure decisions actioned. Draft minutes as soon as practicable | Town Clerk | L |
| Allotments | Revenue loss through poor management/badly maintained sites | M | Regular inspections, regular liaison with Allotments society. | Admin Officer | L |
| | Lack of security. | H | Quarterly inspections and also feedback from Allotments Volunteer Management Group | Admin Officer | M |
| | Accidents/Personal Injury | M | Risk assessment is reviewed annually and public liability insurance. | Town Clerk | M |
| | Vandalism | H | Security, regular liaison with Allotments Volunteer Management Group | Town Clerk | M |
| | Cash handling and banking | M | Cash payments for fees taken in office, recorded and banked | Admin Officer | L |
| Open Spaces | Damage/vandalism | H | Regular inspections and reports. | Town Maintenance Person | M |
| | Condition of buildings | H | Buildings insurance and maintenance programme | Town Clerk | M |

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| Markets | Accidents/Personal Injury | H | Risk Assessments / insurance | Town Clerk | M |
| | Impact of the weather on takings and Council income | H | Realistic budget estimates each year | Town Clerk | L |
| | Cash handling and banking | M | Cash/payments taken by Admin Officer safely stored, recorded and paid into bank. Process under review | Admin Officer | M |
| | General Health and Safety – setting up, parking | H | Conditions for stallholders including traders' insurance. Liaison with EDDC and submission of risk assessments | Town Clerk | M |
| Marshlands/ Town Hall | Damage/vandalism | H | Alarm system, call out and police liaison | Town Clerk | H |
| | Revenue loss due to badly managed buildings | M | Liaison with tenants/lease discussion/commercial agents | Town Clerk | L |
| | Accident/injury caused by hirers | M | Terms and conditions of hire given to hirer | Admin Officer | M |
| | Loss of income due to reduced bookings | M | Promotion of venue and policy on reduced rates for charities and community organisations | Town Clerk | M |
| | Building safety | H | Fire, electrical safety checks and compliant procedures for health and safety. Building Information book. | Town Maintenance Person | M |
| | Condition of building | H | Buildings insurance and maintenance programme | Town Clerk | M |
| | Marshlands running costs higher than anticipated | H | Sufficient budget allocation and careful monitoring and management. Maximise income. | Town Clerk | M |
| | Loss of tenant rental income | L | Budget set to allow leeway for occasional vacant offices | Town Clerk | L |
| Play Areas | Damage/vandalism/rubbish | H | Regular visual checks and weekly inspections identifying defects and remedial action required. Annual written independent reports. | Town Maintenance Person | M |

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| | Facilities not maintained | M | In house minor repairs. Use of approved qualified contractor where necessary for more substantial repairs | Town Maintenance Person | L |
| | Personal injury | H | Preventative measures as above and insurance cover | Town Maintenance Person | M |
| Vehicles/ Machinery | Loss, theft, vandalism | H | Secure storage and insurance | Town Maintenance Person | M |
| | Misuse of equipment or badly maintained/accidents | M | Training and advice on use of equipment provided to relevant staff and annual servicing. | Town Maintenance Person | L |
| Events | Road Closures and Liability | M | Correct Procedures and use of trained staff | Town Clerk | L |
| | Organisation | M | Separate risk assessment for each event and organiser's separate insurance | Town Clerk | |
| | Christmas Decorations and Lighting | H | Testing/assessment of lights and fixings town decorations and risk assessment of others. Electrician tests all connections | Town Maintenance Person | M |
| Tourist Information | Provision of service by external provider – best value | M | Provision of service transferred to a partner organisation under a service level agreement with regular reports being received from service provider | Town Clerk | L |

The **Level of risk** is an assessment of the likelihood and consequences of the risk happening.

The **Management of Risk** is how the Town Council looks to control the risk.

The **Reviewed level of risk** is the level of risk after the control measures are taken into account and where further ongoing attention is necessary.