



Seaton Town Council Constitution

Chapter 8 – Risk Register

NOTE: Due to the ongoing physical, practical and financial risks posed to the Council's staff, premises and community, imposed by the coronavirus pandemic, the Council is cognisant of the fact that it must be ever more vigilant and these risks are reviewed regularly by the Town Clerk as new Government guidance and regulations evolve.

Reviewed – 4 May 2021

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 – potentially unlawful	M	<ul style="list-style-type: none"> The Council's constitutional documents, including Standing Orders, Financial Regulations and policies, set how the Council's business will be conducted. These are reviewed annually. Member training Membership of Devon Association of Local Councils and Society of Local Council Clerks 	Town Clerk	L
	Inappropriate delegation	M	<ul style="list-style-type: none"> Council's constitutional documents include a scheme of delegations to committees and the town clerk. This is reviewed regularly. 	Town Clerk	L
	Unclear member responsibility and accountability	M	<ul style="list-style-type: none"> Appropriate committee structure and clear lines of reporting by committees to Council New Member training arranged as soon as practicable after election/co-option. Bespoke training provided by DALC in October 2020 	Town Clerk	L
	Appointments to outside bodies not made	L	<ul style="list-style-type: none"> Annual review of appointments and reports to committee, as necessary 	Town Clerk	L
	Governance and regulatory documents not reviewed.	M	<ul style="list-style-type: none"> Reviewed and updated and reports to Council for approval, as required 	Town Clerk	L
	Register of Interests for Members up to date	M	<ul style="list-style-type: none"> All Members complete forms as soon as elected/co-opted. Annual Review of Register entries. Last reviewed April 2021. 	Town Clerk	L

Issue	Risk Identified	Level of Risk H/M/L	Management of Risk (Mitigating factors)	Officer Action	Reviewed level of risk
Cash	Poor systems and controls	M	<ul style="list-style-type: none"> Reviewed monthly by town clerk and a councillor. Ratified by F&GPC Reviewed by Internal Auditor and any risks identified 	Town Clerk	L
	Waste and misappropriation of funds.	M	<ul style="list-style-type: none"> Appropriate supervision of staff and reporting to Councillors. 	Town Clerk	L
	Budget not approved and precept request not submitted	H	<ul style="list-style-type: none"> Timely reporting to Members with detailed draft budget for following year initially presented to F&GP in October meetings in annual schedule and detailed in Financial Regulations. 	Town Clerk	L
	Adequate funds	H	<ul style="list-style-type: none"> Monitor actual expenditure to forecast and report regularly to F&GPC and Council, as necessary Particular scrutiny is applied to changes brought about by the pandemic and the need to vire funds between budgets to reflect this 	Town Clerk	L
	Properly authorised payments	M	<ul style="list-style-type: none"> Authority to pay in line with Financial Regulations Cheques signed by two councillors All payments authorised by two Councillors. Financial Regulations reviewed May 2021 	Town Clerk	L
	Theft, fraud and corruption	M	<ul style="list-style-type: none"> Training, management & insurance 	Town Clerk	L
	Activities being outside of legal powers/unlawful payments	H	<ul style="list-style-type: none"> Training of clerk (currently undertaking CiLCA) advice to members 	Town Clerk	L

Issue	Risk Identified	Level of Risk H/M/L	Management of Risk (Mitigating factors)	Officer Action	Reviewed level of risk
Direct Costs	Goods not supplied to Council	M	<ul style="list-style-type: none"> Purchase order system 	Town Clerk and all officers	L
	Invoices incorrectly calculated	M	<ul style="list-style-type: none"> Detailed check of calculations 	Town Clerk	L
	Online Payments	H	<ul style="list-style-type: none"> Two councillors authorise payments each week by email (due to covid restrictions) and sign schedule of payments each month which is then ratified by F&GPC Clerk sets up payments online which are then actioned by a councillor (dual authorisation) Reviewed by Internal Auditor twice a year 	Town Clerk	M
	Use of Debit Card	H	<ul style="list-style-type: none"> 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 Action being undertaken to set up a separate DC account. 	Town Clerk	M
	Income tax deduction	M	<ul style="list-style-type: none"> Tax codes as notified by HMRC payments made by EDDC Payroll services, as the Council's chosen payroll provider since October 2020 	Town Clerk	L
Grants	Authority and power to approve	M	<ul style="list-style-type: none"> Grant criteria/annual approvals through Council with a limit of £1,000 per grant 	Town Clerk	L
	Conditions of grant	L	<ul style="list-style-type: none"> Grants include conditions, as Members consider appropriate, and report back to Council 	Town Clerk	L

Issue	Risk Identified	Level of Risk H/M/L	Management of Risk (Mitigating factors)	Officer Action	Reviewed level of risk
VAT	VAT analysis	M	<ul style="list-style-type: none"> All items recorded in financial accounting software reports as part of cash book lists. Checks conducted by internal auditor 	Town Clerk	L
	Claimed within time limits	M	<ul style="list-style-type: none"> Quarterly returns digitally submitted as soon as possible 	Town Clerk	L
Reserves	Adequacy of earmarked and general reserves.	M	<ul style="list-style-type: none"> Agreed annually by Council as part of budget setting process Approximately 6 months general reserves held in line with JPAG advice EMRs kept under review by F&GPC and Council 	Town Clerk	M
Assets	Loss, damage and value	M	<ul style="list-style-type: none"> Annual inspection, update insurance/review asset register report to Members (Dec/Jan 2020) 	Town Clerk/Deputy Clerk	M
Salaries	Wrongly paid salary	M	<ul style="list-style-type: none"> Agreed contracts and annual review of salaries and payment systems 	Town Clerk	L
	Wrong tax, NI or pension deducted	M	<ul style="list-style-type: none"> Agreed contracts and annual review of salaries and payment systems 	Town Clerk	L
Members	Members' Interests	M	<ul style="list-style-type: none"> Training on Code of Conduct including refresher training. Last carried out October 2020 	Town Clerk	M
Staff	Accidents/Personal injury	M	<ul style="list-style-type: none"> Visual checks of premises Health and safety checks Particular attention paid to ensure measures for social distancing and hand washing can be observed in compliance with Covid-19 guidance 	Deputy Clerk	M
	Bullying	M	<ul style="list-style-type: none"> Staff Handbook and grievance procedures 	Town Clerk	L

Issue	Risk Identified	Level of Risk H/M/L	Management of Risk (Mitigating factors)	Officer Action	Reviewed level of risk
	Lack of communication	M	<ul style="list-style-type: none"> Regular meetings with all staff 	Town Clerk	L
	Performance issues	M	<ul style="list-style-type: none"> Annual appraisals. Reports to Council or relevant committee as necessary. 	Town Clerk	L
	Knowledge not up to date or insufficient	M	<ul style="list-style-type: none"> Staff training - ongoing and seek independent professional advice – legal, property etc. as required 	Town Clerk	M
	Loss of key staff	M	<ul style="list-style-type: none"> Regular meetings/staff appraisals Insurance being considered 	Town Clerk	M
Financial Records	Inadequate records	H	<ul style="list-style-type: none"> Town Clerk reviews and reports monthly to F&GPC. Checks by internal auditors twice annually 	Town Clerk	L
Insurance	Insufficient cover for all responsibilities	M	<ul style="list-style-type: none"> Annual review of cover taking account of existing and new responsibilities 	Town Clerk	L
Procurement	Contracts not issued properly to ensure best value	M	<ul style="list-style-type: none"> Contract Standing Orders to be followed as part of Financial Regulations 	Town Clerk	L
Minutes	Inaccurate and decisions not followed up	M	<ul style="list-style-type: none"> Minutes review to ensure decisions actioned. Minutes drafted and draft circulated and published as soon as practicable 	Town Clerk	L
Allotments	Revenue loss through poor management/badly maintained sites	M	<ul style="list-style-type: none"> Regular inspections 	Admin Officer	L
	Lack of security.	H	<ul style="list-style-type: none"> Regular inspections Feedback from Allotments Volunteer Management Group 	Admin Officer	M

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	Accidents/Personal Injury	M	<ul style="list-style-type: none"> Risk assessment is reviewed annually and public liability insurance. 	Admin Officer	M
	Vandalism	H	<ul style="list-style-type: none"> Feedback from Allotments Volunteer Management Group 	Town Clerk	M
	Cash handling and banking	M	Cash payments for fees taken in office, recorded and banked as soon as practicable	Admin Officers	L
Open Spaces	Damage/vandalism	H	<ul style="list-style-type: none"> Regular inspections and reports to town clerk and Council, if appropriate 	Town Maintenance Officer	M
	Condition of buildings	H	<ul style="list-style-type: none"> Buildings insurance Maintenance programme 	All Officers	M
Markets	Accidents/Personal Injury	H	<ul style="list-style-type: none"> Risk Assessments Insurance 	Town Clerk	M
	Impact of the weather on takings and Council income	H	<ul style="list-style-type: none"> Realistic budget estimates each year 	Town Clerk	L
	Cash handling and banking	M	<ul style="list-style-type: none"> Cash/payments taken by Admin Officer safely stored, recorded and banked as soon as practicable 	Admin Officer	M
	General Health and Safety – setting up, parking	H	<ul style="list-style-type: none"> Conditions for stallholders including traders' insurance. Liaison with EDDC and submission of risk assessments Council no longer provides gazebos due to risks posed 	Town Clerk	M
Marshlands/ Town Hall	Damage/vandalism	H	<ul style="list-style-type: none"> Alarm system, call out and police liaison 	Town Clerk	H
	Revenue loss due to badly managed buildings	M	<ul style="list-style-type: none"> Liaison with tenants/ review of tenancies and rents ongoing 	Town Clerk	L
	Accident/injury caused by hirers	M	<ul style="list-style-type: none"> Terms and conditions of hire given to hirer 	Admin Officer	M

Issue	Risk Identified	Level of Risk H/M/L	Management of Risk (Mitigating factors)	Officer Action	Reviewed level of risk
	Loss of income due to reduced bookings	M	<ul style="list-style-type: none"> Promotion of venue and policy on reduced rates for charities and community organisations Projected income in budget for 2021/22 reduced to zero due to likely ongoing Covid-19 restrictions 	Town Clerk	M
	Building safety	H	<ul style="list-style-type: none"> Fire, electrical safety checks Health and safety risk assessment and policy update Health and safety notice board COSHH area Annual PAT testing of equipment Particular observance to guidance surrounding Covid-19 safe practises 	Admin Officer	M
	Condition of building	H	<ul style="list-style-type: none"> Buildings insurance EMRs set aside for maintenance programme 	Town Clerk	M
	Marshlands running costs higher than anticipated	H	<ul style="list-style-type: none"> Sufficient budget allocation Close monitoring and management Maximising income generation 	Town Clerk	M
	Loss of tenant rental income	L	<ul style="list-style-type: none"> Budget allowance made for occasional vacant offices 	Town Clerk	L
Play Areas	Damage/vandalism/rubbish	H	<ul style="list-style-type: none"> Regular visual checks and weekly inspections identifying defects and remedial action required Regular reports to F&GPC identifying any issues Annual independent RoSPA inspections 	Town Maintenance Officer	M

Issue	Risk Identified	Level of Risk H/M/L	Management of Risk (Mitigating factors)	Officer Action	Reviewed level of risk
	Facilities not maintained	M	<ul style="list-style-type: none"> In house minor repairs Use of approved qualified contractor for more substantial repairs 	Town Maintenance Officer	L
	Personal injury	H	<ul style="list-style-type: none"> Preventative measures, as above Adequate insurance cover Additional advisory signage to ensure safe usage of equipment during the covid-19 pandemic 	Town Maintenance Officer	M
Vehicles/ Machinery	Loss, theft, vandalism	H	<ul style="list-style-type: none"> Secure storage Adequate insurance 	Town Maintenance Officer	M
	Misuse of equipment or badly maintained/accidents	M	<ul style="list-style-type: none"> Training and advice on use of equipment provided to relevant staff Annual servicing of vehicle and equipment as appropriate 	Town Maintenance Officer	L
Events	Road closures and liability	M	<ul style="list-style-type: none"> Correct procedures implemented Adequately trained staff 	Town Clerk	L
	Organisation	M	<ul style="list-style-type: none"> Separate risk assessment for each event Ensuring adequate insurance including separate organiser's insurance, of appropriate 	Town Clerk	
	Christmas decorations and lighting	H	<ul style="list-style-type: none"> Testing/assessment of lights and fixings for town decorations and risk assessment of others Electrician tests all connections 	Town Maintenance Officer	M

Issue	Risk Identified	Level of Risk H/M/L	Management of Risk (Mitigating factors)	Officer Action	Reviewed level of risk
Tourist Information	Provision of service by external provider – best value	M	<ul style="list-style-type: none"> • Provision of service transferred to a partner organisation, under a service level agreement, with regular reports being received from service provider. • Payments for service kept under review by F&GPC due to closures as a result of the pandemic. • Due to imminent withdrawal of partner organisation, service provision is under review 	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 controls 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.

Reviewed – May 2021