



# FLEETWOOD TOWN COUNCIL

## Risk Management Register

### DOCUMENT INFORMATION

Issue Date:	30 March 2010 (v1.0); 30 <sup>th</sup> March 2021 (v2.0)
Document Status:	Final v2.0
Effective From:	Date of resolution by the Council to approve and accept
Scope of Document:	A record of actions agreed to address or reduce identified risks to the Council
Objective:	To record mitigating actions to address or reduce all identified risks to the Council
Author:	Clerk / Responsible Finance Officer to the Council – Irene Tonge
Authorised by:	Fleetwood Town Council
Date of Resolution:	27 July 2021; <b>28 June 2022</b>
Revisions – v1.0	29/02/11, 27/03/12, 26/02/13, 25/02/14, 24/02/2015, 23/02/2016, 28/2/17, 13/3/18, 16/4/19, 13/7/2020
Revisions – v2.0	30/03/2021, <b>23/06/2022</b>

Please note that in assessing risk, consideration should be given to the likelihood of the occurrence and the effect it would have.

Reviews of risks will be held a minimum of once yearly or whenever there is an envisaged change in responsibility.



# FLEETWOOD TOWN COUNCIL

## Risk Management Register

### 1 Objective at Risk: Control over funds

Item	Risk Identified	Rating	Responsibility	Action
Precept	Failure to calculate / submit precept request on time	Medium	Clerk  PWG Clerk Members Clerk	<ul style="list-style-type: none"> <li>- confirm submission dates with Wyre Council (WC)</li> <li>- prepare draft budgets in sufficient time for consideration by Precept Working Group (PWG)</li> <li>- PWG to consider and approve draft budget</li> <li>- submit precept to Full Council Meeting (FCM) for approval</li> <li>- to approve budget</li> <li>- submit final precept request to WC in sufficient time</li> </ul>
Precept	Inadequacy of precept	Medium	Members/Clerk  Clerk Members	<ul style="list-style-type: none"> <li>- thorough calculation and breakdown of proposed precept, initially by PWG followed by Full Council at FCM</li> <li>- build a reserve of funds to carry forward</li> <li>- prepare quarterly budget to actual expenditure</li> <li>- consider and approve quarterly income and expenditure budget</li> </ul>
Election Costs	Inadequacy of projected election costs	Medium	Members  Clerk	<ul style="list-style-type: none"> <li>- standard election costs will normally be advised by WC after elections for inclusion in the following year's precept; any additional costs e.g., for by-elections to be paid for from the contingency figures incorporated in the budget</li> <li>- in the event of by-election(s), prepare projection of costs for Members at earliest point</li> </ul>
Records	Failure to maintain proper accounting records	Medium	Members  Clerk	<ul style="list-style-type: none"> <li>- recruit suitably competent/qualified Clerk</li> <li>- prepare comprehensive job description</li> <li>- quarterly review of accounts</li> <li>- review reports from internal and external auditors</li> <li>- enable relevant training and support for attaining of the CiLCA qualification</li> <li>- enable the purchase of accounting hard/software, stationery etc.</li> <li>- prepare and have approved accounting system</li> <li>- ensure records kept up to date monthly as a minimum</li> </ul>



# FLEETWOOD TOWN COUNCIL

## Risk Management Register

Income	Failure to account for income properly	Medium	Members Clerk	<ul style="list-style-type: none"> <li>- receive and review reports of all income received</li> <li>- quarterly review of balance sheet</li> <li>- advise Members at next FCM/Committee Meeting (CM) of all receipts</li> <li>- bank cash income immediately (when appropriate)</li> <li>- Ensure any petty cash is kept to a minimum and is held securely and a cash book is maintained.</li> </ul>
Expenditure	Failure to account for expenditure properly	Medium	Members Clerk	<ul style="list-style-type: none"> <li>- review annual budget calculation</li> <li>- quarterly review of expenditure against budget</li> <li>- inspect and authorise invoices - to be available at FCMs/CMs</li> <li>- periodically review bank reconciliations</li> <li>- enter all invoice details into cash book immediately</li> <li>- maintain adequate analysis of all payments made by category</li> <li>- cross reference all payments to invoices</li> <li>- list all payments due at each FCM</li> </ul>
Donations and Financial Support	Insufficient audit trail of requests to the Council, and insufficient evidence of Council agreement to pay	Medium	Clerk	<ul style="list-style-type: none"> <li>- retain letters from parties requesting grants e.g., initial request and their thanks /acknowledgment after the donation</li> <li>- request and retain completed Grant Application Forms</li> <li>- minute Council agreement to all donations</li> <li>- payment to be authorised by the required two out of three signatories.</li> </ul>
Overspend	Failure to stay within agreed budgets	Medium	Clerk Members	<ul style="list-style-type: none"> <li>- maintain full records of all payments</li> <li>- produce regular variance analysis of payments against budget</li> <li>- advise members immediately, if liable to overspend.</li> <li>-periodically review variance analysis</li> </ul>
Reserves	Holding excessive or inadequate reserves	Medium	Members/Clerk	<ul style="list-style-type: none"> <li>- calculate anticipated reserves position at the end of each financial year and review for adequacy / appropriateness</li> </ul>
Annual Return	Failure to complete / submit Annual Return on time	Low	Clerk	<ul style="list-style-type: none"> <li>- check and diarise cut-off dates for submission of Annual Return to external auditors</li> <li>- ensure internal auditor is approved at February's FCM for initial audit</li> <li>- ensure that accounts are prepared in adequate time for submission and are compliant with Guidance.</li> </ul>



# FLEETWOOD TOWN COUNCIL

## Risk Management Register

Fraud	Fraud by Clerk	Medium	Members	<ul style="list-style-type: none"> <li>- recruit suitably qualified / competent Clerk, after checking references as appropriate</li> <li>- periodically review accounts</li> <li>- periodically review bank reconciliations</li> <li>- receive and review reports by internal and external auditors</li> <li>- obtain adequate insurance cover i.e., Fidelity cover</li> </ul>
Fraud	Fraud by Members	Low	Clerk	<ul style="list-style-type: none"> <li>- restricted access to cheque books</li> <li>- review and reconcile bank statements on receipt</li> </ul>
Value	Failure to achieve best value	Low	Members	<ul style="list-style-type: none"> <li>- produce a purchasing policy and / or review by Council</li> <li>- issue tenders of all major purchases</li> <li>- aim to obtain 3 quotes wherever feasible</li> </ul>
VAT	Failure to account for and recover VAT	Low	Clerk	<ul style="list-style-type: none"> <li>- regularly review VAT status and VAT position</li> <li>- maintain separate records of all VAT paid</li> <li>- submit completed claim to HMRC when appropriate, preferred annually but must be within 3 years</li> </ul>



# FLEETWOOD TOWN COUNCIL

## Risk Management Register

### 2 Objective at risk: Providing the local community with the opportunity to participate.

Item	Risk Identified	Rating	Responsibility	Action
Vacancies	Failure to attract sufficient candidates for member vacancies	Medium	Members  Clerk	<ul style="list-style-type: none"> <li>- actively publicise Council activities</li> <li>- seek candidates amongst friends and colleagues</li> <li>- publicise vacancies on notice boards</li> <li>- publicise in local papers</li> </ul>
Quorum	Failure to achieve quorum at meetings	Medium	Clerk	<ul style="list-style-type: none"> <li>- issue annual meeting calendar to all members</li> <li>- issue meeting agendas in accordance with regulations</li> <li>- maintain attendance register</li> <li>- contact members should any fail to attend meetings without apology</li> </ul>
Public Participation	Lack of public participation at meetings	High	Clerk	<ul style="list-style-type: none"> <li>- include public participation on all agendas</li> <li>- ensure seating available at venue for public</li> <li>- ensure public can access link to meetings if meetings are held virtually</li> <li>- ensure proceedings are audible e.g., use of microphone where appropriate</li> <li>- publish agendas and minutes on website</li> </ul>
Public Consultation	Lack of public consultation by members	Medium	Members	<ul style="list-style-type: none"> <li>- maintain regular contact with local residents</li> <li>- publicise (office) address and contact details</li> <li>- include contact details on website and in Newsletter</li> </ul>
Representation	Members acting alone outside meetings	Medium	Members	<ul style="list-style-type: none"> <li>- obtain and read 'Councilor Guide.'</li> <li>- avoid making commitments on behalf of the council</li> <li>- attend relevant training courses</li> </ul>
Publicity	Bad publicity	High	Members	<ul style="list-style-type: none"> <li>- have all press releases reviewed by Chair or Clerk/CEDO before release</li> <li>- if speak to the press outside meetings make it clear in which capacity you are speaking e.g., as a member of the public</li> </ul>



# FLEETWOOD TOWN COUNCIL

## Risk Management Register

Allegations	Allegations of libel or slander	Medium	Members	<ul style="list-style-type: none"><li>- have all press releases or newsletter articles reviewed by Chair or Clerk/CEDO before release</li><li>- obtain insurance against possible actions</li></ul>
Non-activity	Council decisions not implemented	Medium	Members	<ul style="list-style-type: none"><li>- review minutes for confirmation of action</li><li>- review Clerk's report for confirmation of action</li><li>- review correspondence as necessary</li></ul>
Document Control	Inadequate document control	Low	Clerk	<ul style="list-style-type: none"><li>- obtain Chair's signature on approved minutes</li><li>- retain signed minutes in folder</li><li>- maintain regular back-ups of all computer records</li><li>- retain all records for required legal period</li></ul>



# FLEETWOOD TOWN COUNCIL

## Risk Management Register

3 Objective at risk: Providing such services as the local community wishes.

Item	Risk Identified	Rating	Responsibility	Action
Consultation / Representation	Failure to correctly identify local needs or wishes	Medium	Member <b>CEDO</b>	<ul style="list-style-type: none"> <li>- maintain close contact with local residents</li> <li>- <b>Maintain contact with schools and community groups</b></li> <li>- use meetings to obtain residents' feedback</li> <li>- keep Social Media up-to-date and relevant and review /answer posts</li> <li>- use questionnaires, where appropriate, to identify local wishes</li> <li>- review local papers, especially correspondence sections</li> <li>- <b>hold/join community events</b></li> </ul>
Provision of ad-hoc events	Failure to identify all possible risks and to mitigate appropriately	High	Members Clerk/CEDO	<ul style="list-style-type: none"> <li>- ensure a full risk assessment is carried out in conjunction with Wyre Council</li> <li>- ensure all required licenses are obtained</li> <li>- ensure all relevant guidance is followed</li> <li>- ensure all relevant regulations are followed</li> <li>- ensure the Council has financial and organizational control of events for which it is responsible and accountable</li> <li>- ensure contingency plans are in place e.g., for shortfall of any external funding</li> <li>- ensure the Council is appropriately resourced to provide the necessary controls and to perform the actions above.</li> </ul>



# FLEETWOOD TOWN COUNCIL

## Risk Management Register

**4 Objective at risk: Compliance with laws and regulations.**

Item	Risk Identified	Rating	Responsibility	Action
Conflict of Interest	Failure to recognise and address conflict of interest	Medium	Members/Clerk Members	<ul style="list-style-type: none"> <li>- review Code of Conduct annually and circulate to Councillors</li> <li>- complete and sign 'Declaration of Interests' form</li> <li>- if in doubt, seek advice</li> </ul>
Legislation	Failure to comply with relevant legislation	High	Members/Clerk  Clerk	<ul style="list-style-type: none"> <li>- periodically review all activities to ensure ongoing compliance</li> <li>- check legality of any decision when in doubt</li> <li>- maintain records of decisions taken and cross reference to relevant legislation</li> </ul>
Legislation	Inadequate awareness of relevant legislation	High	Members          Clerk <b>CEDO</b> <b>AO</b>	<ul style="list-style-type: none"> <li>- recruit suitably experienced or qualified staff</li> <li>- prepare comprehensive job descriptions</li> <li>- support SLCC membership</li> <li>- attend available training courses</li> <li>- attend relevant conferences</li> <li>- join NALC / LALC and use advice services</li> <li>- liaise with officers at District Council as appropriate</li> <li>- liaise with officers at County Council as appropriate</li> <li>- attend available training courses (e.g., CILCA, LALC)</li> <li>- attend relevant conferences</li> <li>- maintain reference library</li> <li>- join SLCC and use advice services</li> <li>- subscribe to relevant magazines and journals</li> <li>- liaise with other clerks</li> <li>- liaise with officers at District Council as appropriate</li> <li>- liaise with officers at County Council as appropriate</li> <li>- seek advice when in doubt</li> </ul>

**5 Objective at risk: Control over Assets including Fixed Assets.**





# FLEETWOOD TOWN COUNCIL

## Risk Management Register

Item	Risk Identified	Rating	Responsibility	Controls
Asset Register	Failure to maintain Asset Register	Low	Clerk Members	- maintain and update Asset Register as Council owned Assets are obtained - periodically review Asset Register
Burglary	Burglary to office at 122 Poulton Road Fleetwood	Medium	<b>Members</b> <b>Officers</b>	- ensure external and internal doors and windows are always locked when the property is not occupied - ensure adequate locks are fitted to office door and windows - limit and document number of keys in circulation - regularly test burglar alarm (at least annually)
Fire	Fire damage to office at 122 Poulton Road	Medium	Clerk <b>CEDO</b> <b>AO</b>	- ensure all office equipment is turned off when the office is not occupied - ensure a suitable fire extinguisher is available - ensure "no smoking" regulations are met
Accident	Accidental damage to assets	Medium	Clerk	- ensure adequate insurance cover for contents and buildings.
Loss or Harm	Loss or harm to staff or to third parties	Medium	Clerk	- regular inspection of assets from health & safety viewpoint - ensure adequate insurance cover i.e., public liability
Paper Records of the Council	Loss by damage, destruction, or negligence in any form	Low	Clerk	- ensure all key documents are also held as computer documents - ensure all paper records are appropriately filed and organized - ensure that the origin of original documents / books / emails is known so they can be obtained again if necessary.
Computer Records of the Council	Loss by PC breakdown	Medium	Clerk	- ensure weekly backups are taken to external hard drive to be held off-site by the clerk

6 **Objective at risk: To ensure the safety and well being of all allotment holders, guests and visitors to the allotment site.**



# FLEETWOOD TOWN COUNCIL

## Risk Management Register

Item	Risk Identified	Rating	Responsibility	Action
Safety	Injury to persons	Medium	Clerk  Councillors <b>Allotment Committee</b>	<ul style="list-style-type: none"> <li>- maintain public liability cover</li> <li>- ensure regular Health and Safety inspections of the land and perimeter area take place</li> <li>- to receive and act upon any reports of potential Health and Safety problems – or injuries that have occurred</li> <li>- to instigate a process and procedure to document inspections made, problems notified and to record actions taken through to resolution of the problem.</li> <li>- to create a dedicated <b>Committee</b> of up to 3 Cllrs and the CEDO</li> </ul>
Safety / Security	Criminal Damage	Medium	Tenants  <b>Allotment Committee</b>	<ul style="list-style-type: none"> <li>- to report problems when identified</li> <li>- ensure the perimeter of the allotment is regularly inspected, maintained and repaired promptly when necessary</li> </ul>
Fire or Flood	Damage by Fire or Flood	Low	Tenants	<ul style="list-style-type: none"> <li>- to report events should they occur so that Health and Safety inspections can be arranged.</li> </ul>
Access / Parking	Damage to the allotment entrance and parking area preventing access	Low	Tenants  <b>Allotment Committee</b>	<ul style="list-style-type: none"> <li>- to report problems promptly</li> <li>- to inspect regularly, to follow up on problems reported, and resolve as soon as possible</li> </ul>
Liability	Council held liable for any injuries or loss by the tenants	Medium	<b>Allotment Committee</b>	<ul style="list-style-type: none"> <li>- to make it explicit within the rental agreement that the council is not responsible for items owned by the tenants which are stored at the allotments</li> <li>- to ensure that insurance is taken out specifically for the allotments</li> </ul>



# FLEETWOOD TOWN COUNCIL

## Risk Management Register

Finance	Income and expenditure subsumed within Council Accounts	Low	Clerk	- to ensure that allotment account records are recorded separately from those of the main council expenditure and visible in all quarterly accounting documents.
---------	---	-----	-------	--



# FLEETWOOD TOWN COUNCIL

## Risk Management Register

7 Objective at Risk: Health and Safety / Security of Employee within Office Environment

Item	Risk Identified	Rating	Responsibility	Action
Health & Safety	Fire, gas explosion, electrical malfunction, trip hazard	Medium	Members / Clerk	<ul style="list-style-type: none"> <li>- to ensure that a fire extinguisher is available</li> <li>- to ensure that annual gas and electrical inspections take place and that appropriate certificates are obtained</li> </ul>
Personal Security	Physical threat as a lone worker within the office premises	High	<p>Members</p> <p><b>All office users</b></p>	<ul style="list-style-type: none"> <li>- to ensure that a form of security is purchased and maintained e.g., alarm button</li> <li>- <b>to ensure that the external front door is locked except for agreed opening times, and only when a receptionist/officer is on duty at the front desk.</b></li> <li>- to ensure that the external rear door is locked by the last person leaving the office, all internal doors are secured, and the office alarm is set.</li> </ul>