



FLEETWOOD TOWN COUNCIL

Risk Management Register

DOCUMENT INFORMATION

Issue Date:	30 March 2010 (v1.0); 30 th 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; 28 June 2022
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, 23/06/2022

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.



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



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



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



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



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



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



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

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



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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	Members Officers	- 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 CEDO AO	- 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.**



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Item	Risk Identified	Rating	Responsibility	Action
Safety	Injury to persons	Medium	Clerk Councillors Allotment Committee	<ul style="list-style-type: none"> - maintain public liability cover - ensure regular Health and Safety inspections of the land and perimeter area take place - to receive and act upon any reports of potential Health and Safety problems – or injuries that have occurred - to instigate a process and procedure to document inspections made, problems notified and to record actions taken through to resolution of the problem. - to create a dedicated Committee of up to 3 Cllrs and the CEDO
Safety / Security	Criminal Damage	Medium	Tenants Allotment Committee	<ul style="list-style-type: none"> - to report problems when identified - ensure the perimeter of the allotment is regularly inspected, maintained and repaired promptly when necessary
Fire or Flood	Damage by Fire or Flood	Low	Tenants	<ul style="list-style-type: none"> - to report events should they occur so that Health and Safety inspections can be arranged.
Access / Parking	Damage to the allotment entrance and parking area preventing access	Low	Tenants Allotment Committee	<ul style="list-style-type: none"> - to report problems promptly - to inspect regularly, to follow up on problems reported, and resolve as soon as possible
Liability	Council held liable for any injuries or loss by the tenants	Medium	Allotment Committee	<ul style="list-style-type: none"> - 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 - to ensure that insurance is taken out specifically for the allotments



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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.
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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"> - to ensure that a fire extinguisher is available - to ensure that annual gas and electrical inspections take place and that appropriate certificates are obtained
Personal Security	Physical threat as a lone worker within the office premises	High	<p>Members</p> <p>All office users</p>	<ul style="list-style-type: none"> - to ensure that a form of security is purchased and maintained e.g., alarm button - 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. - 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.