

Durleigh Parish Council

Risk Register and Assessment 2022 - 2023

Four parameters:

1. Identify the areas to be reviewed
2. Identify the risk
3. Evaluate the management and control/mitigation of risk and record
4. Review, assess and revise, adapt and modify as necessary

FINANCIAL					
SUBJECT	RISK	L	S	HML	ACTION/MITIGATION
Precept	Adequacy. Submission. Receipt	1	5	L	Budget on Agenda Autumn. Minute decisions. Inform Council on receipt.
Financial Records	Adequacy. Financial irregularities	1	5	L	Financial Regs and monthly bank reconciliations
Banking	Inadequate checks, mistakes incurring charges	1	4	L	Financial Regs. Monthly bank reconciliations
Reporting and Auditing	Information/communication	1	3	L	Bi-Monthly Finance Reports to Council
Direct costs/Debts	Goods billed not supplied/unpaid invoices	1	3	L	Schedule of Known Payments / invoices for approval checked and signed by 2 members. Online payments checked.
Grants payable (inc. Interment Fee Grant)	Power to pay under Section 137 Local Gov. Act	1	2	L	Grant & Donation Policy. Strict application process. Application Form and T&Cs for Interment Fee Grant Decisions Approved and minuted
Grants received	Check eligibility and receipt	1	2	L	Approved and minuted for authority to pursue
Best value/accountability	Work awarded inappropriately/ overspend on services	1	3	L	Competitive quotes/tenders X minimum of 3
Salaries/expenses	Incorrect payment/wrong hours	1	5	L	Contract and Chair & Finance review lead checking hours worked and signing off
PAYE	Incorrect payment	1	5	L	Registered Tax Adviser. Regular PAYE report to Finance Sub Committee
Councillor allowances	Overpayment	1	3	L	Not applicable
Election costs	Election costs not met	2	3	M	Ensure sufficient funds in budget
VAT	Exceed reclaim deadline	1	3	L	Financial Regs. Internal audit
Annual Audit Return	Miss deadlines	1	5	L	Agenda item for Annual Parish meeting.
MANAGEMENT/legal					
Business Continuity	Inability to continue business due unexpected events: pandemic/natural disaster	2	2	M	Establish Business Continuity procedures. Online bank account. Remote meetings. Procedures to authorise known payments in advance.
Legal Powers	Illegal activity or payments	1	5	L	Standing Orders. All minuted.
Legislative/Statutory/regulatory changes	Acting unlawfully	1	5	L	Regular training for Clerk and members

Minutes, Agendas, notices	Accuracy and legibility	1	3	L	Standing Orders, checking, approval and signing, publish and display
Meetings	Disruption/public disorder	3	5	M	Chairman to manage conduct of meeting guided by Clerk. In event of serious disruption Police may be called. Risk assessment
Members interest	Conflict of interest: personal or prejudicial. Damage of reputation of the Council or charges of corruption	3	5	M	Declarations of Interest as Agenda item and review of register book annually
Predetermination	Members accused of crime of "showing bias in Public Office"	3	5	M	Member training and Clerk guiding
Employees	Loss of key personnel, fraud, health and safety	2	5	M	Continuity plan. Fidelity insurance. Training and supervision
ASSETS					
Insurances	Adequacy/cost/compliance and fidelity	3	5	M	Annual review, Employer's liability. Guidance from SALC/Auditor
Assets	Loss/damage/risk to third party	1	5	L	Adequate insurance, annual review
Maintenance	Poor performance/loss of income/risk to third parties	2	5	M	Review, repair, insure. Risk assessments
Notice Boards	Risk to third parties/roadside danger	1	5	L	Inspection, insurance. Key kept by Clerk and Chair
Street furniture	Park bench and waste bin	1	5	L	Regular inspection
Trees	Vandalism/Third party risk	1	3	L	Regular inspection
Laptop and Projector	Vandalism / theft	1	2	L	Kept Securely by Clerk
HEALTH AND SAFETY					
Meetings location	Adequacy and risks of venue	5	5	H	Risk Assessment. Only meet in person if fully able to comply with COVID safe regulations. Clean all touchable services before and after use. Retain use of face masks until infection levels low and all attendees in agreement that face masks are not required. Use of projector to prevent need for documents to be circulated during meetings.
Site visits	Weather/road/animal/countryside risk and dangers	2	5	M	Risk Assessments
Personnel	Risk - home working	1	5	M	Clerk to risk assess
COMPLIANCE					
Health and Safety	Risk to Clerk and/ or members	5	5	H	Adequate training. Remain aware of COVID safe regulations.
Council records - archive	Loss through theft, fire, damage	2	5	M	Careful storage/archiving
Council records- electronic	Ditto and computer crash	3	5	M	Careful storage and back-up on Google cloud
Data Protection GDPR 2018	Infringement deliberately or accidentally	2	5	M	Adopt privacy policy. Training for Clerk and Councillors
Freedom of Information Act	Council reputation and time resources to answer	3	5	M	Model scheme/complaints procedure, training
Employment Law	Dispute with employee	2	5	M	Contract, JD and grievance procedure and disciplinary procedure.

KEY:

L = Likelihood – position of being likely or probable score 1 2 3 4 5

x

S = Severity – position of most harm to individual/s or organisation 1 2 3 4 5

Score: 1 -5 = low Risk is being managed adequately or within reasonable boundaries.

Score: 6- 15 = medium Risk is reasonable but requires further action to mitigate.

Score: 16-25 = high Risk is unacceptable and activity should be **ceased until** remedial action is taken.

Signed **T Weeks** Date: 5 April 2022

(Clerk & RFO to Council)