**Pilling Parish Council – Risk Register 2022/23**

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| **Risk No** | **Risk Identified** | **Management/Control of Risk** | **Likelihood** | **Impact** | **Score** | **Action/Review** |
| 1 | **Financial** |  | | | | |
| 1.1 | Loss of money through fraud, theft, poor accounting systems or error | * Documented systems in place to detect/prevent including payments authorised against invoices, scrutiny of bank statements on receipt and two councillor signatories on accounts/cheques * Electronic banking procedures in place, with secure passwords * VAT identified and reclaimed at least annually * Financial reports presented to each Council meeting and cross checks at Finance Committee meetings * Treasury Management Policy prioritises security and liquidity of funds * Insurance in place to cover any resulting financial losses and annual review of insurance * No petty cash kept * Experienced, trained Clerk * Annual review of effectiveness of auditor * Council scrutiny of independent internal auditor report and approval of action plan * Financial Regulations reviewed annually or more frequently in response to regulatory etc. change * Use of only recognised banks for banking and investment needs. Risks spread across Unity Trust and Furness Building Society (Lloyds FSCS protection * Periodic review of banking arrangements to secure best possible terms and conditions | Low  2 | Med  3 | Med  6 | Consider banking arrangements to ensure FSCS protection |
| 1.2 | Unexpected significant expenditure requirement | * Parish Council has contingency reserve for such circumstances * Insurance in place with major insurer (Ecclesiastical) to cover major risks * Resort to other funding sources or Public Works Loan Board * Correct any deficit via budget planning over subsequent years * Finance Committee reviews budget requirement in advance of precept being set by the Parish Council | Low  2 | Med  3 | Med  6 |  |
| 1.3 | Budget setting process inadequate | * Budget setting process begins in November to allow adequate time for proper consideration * Quarterly budget monitoring reports provide profile of expenditure against regular budget heads * Costs of new projects proposed are calculated before inclusion in the budget * Government council tax referendum principles considered as part of process * Precept notified in line with timescales set by Wyre Council * In year unbudgeted expenditure only approved if reserves allow * Resort to other funding sources or Public Works Loan Board * Correct any deficit via budget planning over subsequent years   Finance Committee reviews budget requirement in advance of precept being set by the Parish Council | Low  2 | High  5 | 10 |  |
| 2 | **Operations** |  | | | | |
| 2.1 | Action of Parish Council having undesired negative impact on other parties | * Transparent procedures and process in place to reduce likelihood in day to day services * Effective project management/action planning/risk management procedures in place for all defined projects * Insurance in place to cover any resulting financial losses * Expert/professional input sought where appropriate | Med  3 | Med  4 | High 12 |  |
| 2.2 | Contractors not supplying agreed services | * All contracts are controlled by defined contracts or service level agreements | 3 | 3 | 9 |  |
| 2.3 | Damage to third party property or individuals as a consequence of the Parish Council providing services or amenities to the public | * Regular health and safety risk assessments * Regular safety checks * Adequate insurance * Training | Low  2 | Med  3 | Med  6 |  |
| 2.4 | Damage to third party property or individuals as a consequence of the Parish Council putting on a community/civic event | * Health and Safety risk assessments carried out for each event * Event checklist produced covering all aspects of the event including an emergency plan * Insurance policy in place | Med  3 | Med  3 | 9 |  |
| 2.5 | Damage to Parish Council amenities and equipment | * An up to date register of assets * Physical verification of assets held on register * Regular safety checks and inspections by experts on physical assets * Regular maintenance arrangements for physical assets * Regular inspection and reporting in line with agreed schedule to identify damage * Immediate action to repair/replace and take out of use where necessary * Insurance regularly reviewed to reflect assets * Use of CCTV to identify vandalism/accidental damage and reporting to Police where appropriate | Med  3 | High  6 | 18 |  |
| 3 | **Legal** |  |  |  |  |  |
| 3.1 | Illegal activity or decision making | * Standing Orders and Financial Regulations in place and reviewed at least annually * Clerk professionally qualified and undertakes training in new legislation when introduced * General Power of Competence in place or appropriate Power referenced | Low  2 | Med  4 | 8 |  |
| 3.2 | Confidential data being disclosed | * Data protection policy in place and data managed in accordance with GDPR * Very little confidential data held * Security measures on place and used e. g. shredding * Any confidential aspects of reports are highlighted to Councillors * ICT security in place including firewall and passwords for laptop and sensitive documents | Low  2 | Med  3 | 6 |  |
| 3.3 | Harm caused by failure to ensure adequate Health and Safety | * Risk assessments carried out * H and S Advisory Service provided by ………….. * H and S induction for all staff * Parish Council property properly maintained * Specific training provided as per risk assessment findings. * Regular H and S review meetings | Med  3 | Med  3 | 9 | To identify a source of  H and S advice  To review H and S induction for new starters |
| 3.4 | Compensation claim resulting from (alleged) negligent act or accidental omission by the Council or its employee(s). | * Proper conduct of meetings and decision making in accordance with Standing Orders and professional advice from Clerk or other expert where necessary * Training for councillors and staff * Insurance policy in place | 2 | 4 | 8 |  |
| 4 | **Business Continuity** |  | | | | |
| 4.1 | Major incident impacting on Catterall | * Wyre Council Emergency Plan; developed for major incidents. * Key councillors and staff will make themselves available * Common sense used to determine appropriate action * Actively listen for and monitor any communications * Accept instructions from Wyre Council Emergency Planning Team | Low  2 | Med  4 | 8 | Develop a resident’s information leaflet. |
| 4.2 | Village Hall unserviceable | * There are no life-critical services provided * Retrieval of Parish Council assets * Clerk to work from home * Medium/long term plan to return to Village Hall | Low  2 | Med  3 | 6 |  |
| 4.3 | Loss of key personnel | * Tasks to be shared with Pilling Parish Council where possible * Staff training and support to minimise sickness/early departure * Use of temporary staff/agency workers to fill gaps | Low  2 | Med  3 | 6 | Use of Induction/Procedure manual plan above. |
| 4.4 | Loss of council paper records and computer files due to accident or otherwise | * Some historical records archived at Lancashire Records Office * Computer records regularly backed up to hard drive | Low  2. | Med  4 | 8 | Review how paper and computer records are stored securely. |
| 4.5 | Damage to physical assets owned by the Parish Council – buildings, furniture, equipment, | * An up to date register of assets * Physical verification of assets held on register * Regular safety checks on physical assets * Regular maintenance arrangements for physical assets * Insurance regularly reviewed * Reputable ICT support contractor/supplier * Physical security including key controls * Staff training, including fire safety | Low  2 | Med  3 | 6 | Identify appropriate fire safety training for staff |
| 5 | **Employees** |  | | | | |
| 5.1 | Failure to comply with employer requirements | * Ensure compliance with Employment Law through professional advice where appropriate * Comply with HMRC requirements through external payroll provider (Towers and Gornall) * Legal compliance with Parish Council activities ensured through advice from staff, Society of Local Council Clerks, NALC and solicitors when necessary. Advice recorded in the minutes | Med  3 | Med  3 | 9 |  |
| 6 | **Reputation** |  | | | | |
| 6.1 | Failure to represent community interest adequately in relation to matters likely to impact significantly on the parish. | * Parish Council recognised by other agencies for consultation and information * Membership of professional bodies - NALC/LALC and SLCC * Parish Council Facebook page and website provide information to residents on key issues * Special meetings called where appropriate * Clerk and councillors monitor Wyre and LCC committee papers for impact on the village * Parish Council has representation on a number of associated bodies such as village hall committee * Councillors are members of the community | 2 | 2 | 4 |  |
| 6.2 | Councillor behaviour falls below that expected of an elected official | * Non-party political culture encouraged * Register of interests and gifts and hospitality * Councillors provided with copy of Code of Conduct and training available * Advice from Clerk and Monitoring Officer | 3 | 3 | 9 |  |

**Risk Assessment Matrix**

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| **Likelihood** |  | **Impact** | | | |
| Negligible (1) | Low (2) | Medium (3) | High (4) |
| High (4) | 4 | 8 | 12 | 16 |
| Medium (3) | 3 | 6 | 9 | 12 |
| Low (2) | 2 | 4 | 6 | 8 |
| Negligible (1) | 1 | 2 | 3 | 4 |

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| **Date** | **Version** | **Accepted** | **Minute** |
| January, 2021 | Draft by G. Benson | 2nd February, 2021 |  |
| June 2022 | Review | 8th June, 2022 | 5157 |