**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
 | Low2 | Med3 | Med6 | 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
 | Low2 | Med3 | Med6 |  |
| 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 | Low2 | High5 | 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
 | Med3 | Med4 | 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
 | Low2 | Med3 | Med6 |  |
| 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
 | Med3 | Med3 | 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
 | Med3 | High6 | 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
 | Low2 | Med4 | 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
 | Low2 | Med3 | 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
 | Med3 | Med3 | 9 | To identify a source ofH and S adviceTo 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
 | Low2 | Med4 | 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
 | Low2 | Med3 | 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
 | Low2 | Med3 | 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
 | Low2. | Med4 | 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
 | Low2 | Med3 | 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
 | Med3 | Med3 | 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 |