

Risk is an uncertain event or condition that, if it occurs, will have an effect on the achievement of the Parish Councils objectives. Risk management is the process whereby the Parish Council will methodically address the risks associated with what they do and the services which they provide. The focus of risk management is to identify what can go wrong and take proportionate steps to avoid this or successfully manage the consequences. This document has been produced to enable the Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them. In conducting this exercise, the following plan was followed:

- Identify the risks.
- Assess the risk
- Address the risk.
- Review and report

Risk Status Indications

The adopted risk management methodology uses an indication against each risk item to confirm its current status.

The coding is defined as follows:-

- L Low** This identified risk is being effectively managed with adequate reviews, processes and/or documentation as appropriate.
- M Medium** This identified risk is being managed. However there are aspects of risk management, which ought to be improved to achieve a low status. It is recognised that sometimes improvements may be difficult to achieve and remedial work may take time (e.g. a need for Councillor training).
- Or*
- This identified risk is not under adequate management. However, if this risk arises, it will have a minimal impact upon the Council. Whilst attempts can be made over time to improve the management of this risk, there may be occasions where the cost of mitigation is not warranted (e.g. holding spare parts or equipment).
- H High** This identified risk, which has a serious potential impact upon the Council is not under adequate management. This represents a key risk, which will be highlighted to meetings of the Council until such time that it is adequately managed or mitigated. Certain key risks with a low probability may be entirely beyond the management control capability of the Council – such risks may retain a high status upon the agreement of Council

Subject	Risk(s) Identified	H/M/L	Control of Risk	Review/Assess/Revise	Responsible
Business Continuity	Risk of Council not being able to continue its business due to unavailability of Parish files and information	L	Hard copy files not being currently worked on are stored in the Community Centre protected by physical security and fire and intruder alarms. Electronic files (including scans of critical hard copy files) are kept at the Clerk's home. The Clerk makes regular back-ups of files to a hard drive held at Community Centre every three months and also onto a USB held by the Chair.	Controls identified, adopted and implemented in 2024 Risk register are used and work effectively. Review annually	Clerk /Chair
Business Continuity	Risk of Council not being able to continue its business due to unavailability of premises	L	Administrative tasks can be carried out either at the Community Centre or the Clerk's home. An event which renders both unavailable for a prolonged period is highly unlikely and, if it occurs, is likely be of such magnitude as to render route admin irrelevant.	Controls identified, adopted and implemented in 2024 Risk register are used and work effectively. Review annually	Clerk /Chair
			Required meetings can be carried out in other premises previously identified as suitable, for example Queens Hall, Binbrook for public open meetings.		
Business Continuity	Risk of Council not being able to continue its business due unavailability of staff	L	No single person has sole access to any asset. Duplicate keys are held by trusted individuals and these keys also give access to information backups. In the event of the Clerk being indisposed the Chairman to contact LALC for advice.	Controls identified, adopted and implemented in 2024 Risk register are used and work effectively. Review annually	Clerk /Chair
Precept	Adequacy of precept Requirements not submitted to WLDC Amount not received from WLDC	L L L	i) To a timescale that allows compliance with WLDC precept submission deadlines, the Council reviews presented budget update information including actual position, projected position to year end and estimated figures for the next financial year. ii) The Council then agrees the amounts set for the specific budget headings for the next financial year, the total of which is resolved to be the precept amount to be requested from WLDC. iii) This figure is submitted in writing to WLDC by the Clerk who informs Council when he has done so.	Controls identified, adopted and implemented in 2024 Risk register are used and work effectively. Review annually	Clerk/Council

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			iv) Clerk informs council of any issues v) Clerk informs council when precept received.		
Annual Governance and Accountability Return (AGAR)	Not submitted within time limits	L	Knowledge of the AGAR process and deadlines Clerk prepares a timetable for the year's process to be presented to council. Early engagement with internal auditor. Timely preparation of Annual Governance and Accounting Statements by RFO for approval by council at full meeting. It is then checked and sent on to the External Auditor within time limit.	Existing procedures adequate.	Clerk/Chair
Financial records	Inadequate records Financial irregularities	L L	The Council has Financial Regulations that set out the requirements. More active monitoring of Financial Regulations	Controls identified, adopted and implemented in 2024 Risk register are used and work effectively. Review the Financial Regulations annually	Clerk/Council
Bank and banking	Inadequate checks Bank mistakes Loss Charges	L L L	The Council has Financial Regulations that set out the requirements for banking, cheques and reconciliation of accounts. The Clerk to review the Council's banking arrangements regularly. The Council to review the Clerk's banking arrangements regularly Review the Financial Regulations annually and bank signatory list annually especially after an AGM and an election. Monitor accounts monthly	Controls identified, adopted and implemented in 2024 Risk register are used and work effectively. Review annually	Clerk
Cash	Loss through theft or dishonesty	L	The Council has Financial Regulations that set out the requirements. Cash payments are only accepted as a last resort but if received are banked ASAP . No Petty Cash is held. The Council's insurance policy has a Fidelity Guarantee.	Existing procedure adequate. Review the Financial Regulations annually..	Clerk/Council
Reporting and	Information communication	L	Budget monitoring information is produced before each	Existing communication and reporting	Clerk/Council

Subject	Risk(s) Identified	H/M/L	Control of Risk	Review/Assess/Revise	Responsible
Auditing	non-compliance		Council meeting with the agenda and discussed and approved at the meeting. A full list of payments to be made and copies of invoices are provided at the meeting. Councillors resolve, or not to authorise payments and the original schedule of payments is signed by two councillors, A bank reconciliation showing the account balance against the cash book amount is signed as correct by the chair of the meeting.	procedures adequate.	
Direct costs Overhead expenses Debts	Goods not supplied but billed Incorrect invoicing Cheque payable incorrect Unpaid invoices	L L L L	The Council has Financial Regulations that set out the requirements. Prior to each Council meeting the list of invoices awaiting approval is sent electronically to Councillors, Council then approves the list of requests for payment. . Unpaid invoices to the Council are pursued and where possible payment is obtained in advance.	Existing procedure adequate. Review the Financial Regulations when necessary	Clerk/Council
Best value accountability	Work awarded incorrectly Overspend on services	L M	As per Financial Regulations normal Parish Council practice would be to seek, if possible, more than one quotation for any substantial work required to be undertaken or goods. For major contract services, formal competitive tenders would be sought. If a problem is encountered with a contract the Clerk would investigate the situation, check the quotation/tender, research the problem and report to Council.	Existing procedure adequate. Review Financial Regulations regularly.	Clerk/Council
Salaries and associated costs	Salary paid incorrectly Wrong hours paid Wrong rate paid Wrong deductions of NI or Tax Unpaid Tax & NI contributions to HMRC	L L L L L	The Parish Council authorises the appointment of all employees at Council meetings. Salary rates are assessed annually by the Council. Salary is paid monthly by BACS. The Tax and NI contributions are calculated by the payroll company. All Tax and NI payments are submitted to HMRC monthly.	A discrepancy between the employment conditions authorised and those actually implemented was discovered. Future recruitment conditions to be checked by personnel committee.	Clerk/Council

Subject	Risk(s) Identified	H/M/L	Control of Risk	Review/Assess/Revise	Responsible
Clerk/Other workers (voluntary/casual)	Loss of Clerk Fraud	L L	The Parish Council has sufficient reserves to enable training for the CiLCA qualification in the event of the Clerk resigning. The requirements of the Fidelity Guarantee insurance to be adhered to with regards to Fraud. The Clerk should be provided with relevant training, reference books, access to assistance and legal advice required to undertake the role.	Include in financial statement when setting precept. Existing procedure adequate. Purchase reference books where necessary. Membership of the SLCC. Monitor working conditions, safety requirements and insurance regularly.	Clerk/Council
Legal powers	Illegal activity or payments	L	No activity or payments attributable to the Parish Council to be allowed unless resolved by a full Council Meeting and authorised by statute.	Controls identified, adopted and implemented in 2024 Risk register are used and work effectively. Review annually	Clerk/Council
Council records - paper	Loss through: theft fire damage	L M	Covered under Business Continuity "Risk of Council not being able to continue its business due to unavailability of Parish files and information" control measures	Damage (apart from fire) and theft is unlikely and so provision adequate. Deeds/leases copied and deposited off- site	Clerk
Council records - electronic	Loss through: Theft, fire, damage Corruption of computer	L M	Covered under Business Continuity "Risk of Council not being able to continue its business due to unavailability of Parish files and information" control measures. Corruption of computer risk is mitigated by duplicated storage on external hard drives not, as previously, on a single computer	Controls identified, adopted and implemented in 2024 Risk register are used and work effectively. Review annually	Clerk
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L M	An annual review is undertaken (before the time of the policy renewal) of all insurance arrangements in place. Employers and Employee liability insurance is a necessity and must be paid for. Ensure compliance measures are in place. Ensure Fidelity checks are in place.	Controls identified, adopted and implemented in 2024 Risk register are used and work effectively. Review annually	Clerk
Data protection	Policy Provision	L	The Council is registered with the Information Commissioner's Office and complies with GDPR regulations. Only personal data for lawful purposes is stored. Annual renewal of registration with ICO ensured by Direct Debit payment.	Controls identified, adopted and implemented in 2024 Risk register are used and work effectively. Review annually	Clerk
Freedom of	Policy Provision	L	The Council has a model publication scheme for Local	Controls identified, adopted and	Clerk/Council

Subject	Risk(s) Identified	H/M/L	Control of Risk	Review/Assess/Revise	Responsible
Information Act			Councils in place. Arrangements are in place to deal with FOI requests.	implemented in 2024 Risk register are used and work effectively. Review annually	
Meeting location	Adequacy Health & Safety	L M	The Parish Council Meetings are held at the Community Centre. The premises and the facilities are considered to be adequate for the Clerk, Councillors and Public who attend from Health & Safety and comfort aspects.	Controls identified, adopted and implemented in 2024 Risk register are used and work effectively. Review annually	Clerk/Council
Noticeboards	Risk/damage/injury to third parties Road side safety	L L	Parish Council has two notice boards sited around the Parish. All locations have approval by relevant parties, insurance cover, inspected regularly by the Clerk - any repairs/maintenance requirements brought to the attention of the Parish Council. Keys held by the Clerk.	Existing procedure adequate.	Clerk
Minutes, Agendas, Notices, Statutory Documents	Accuracy and legality Business conduct	L L	Minutes and agenda are produced in the prescribed method by the Clerk and adhere to the legal requirements. Minutes are approved and signed at the next Council meeting. Minutes and agenda are displayed according to the legal requirements. Business conducted at Council meetings should be managed by the Chair.	Existing procedure adequate. Guidance/training to Chair should be given (if required). Members to adhere to Code of Conduct	Clerk/Council
Members interests	Conflict of interest Register of Members interests	M M	Councillors have a duty to declare any interests at the start of the meeting. Register of Members Interest forms to be reviewed annually by Councillors.	Existing procedure adequate. Members to take responsibility to update the Register.	Clerk/Council
Councillor and staff	Bringing the Council into disrepute	M	Councillors understand, receive training on, and are regulated by the Code of Conduct. Employees are regulated by policies on both performance and discipline. A professional approach is undertaken on all Parish Council matters.	Controls identified, adopted and implemented in 2024 Risk register are used and work effectively. Review annually	Clerk/Council
Risk Assessment & Risk Register	Failure to assess new risks or re-assess risk register	M	The Risk Register will be a minuted annually and any new procedure / activity will go through the risk assessment process and then added to the risk register	Controls identified, adopted and implemented in 2024 Risk register are used and work effectively. Review annually	Clerk/Council

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Compliance with legislation, Standing Orders, Financial Regulations	Lack of knowledge of rules and regulations	L	Councillors have access to Standing Orders and Financial Regulations and a copy of The Good Councillors Guide and The Good Councillors Guide on Finance & Transparency	Standing Orders and Financial Regulations are reviewed annually	Clerk/Council
VAT	Failure to claim correct amount of VAT	L	VAT analysis is carried out by the Clerk on all purchases and contracts. A claim is made by the Clerk to HMRC for VAT recovery at intervals not exceeding 6 months. The Clerk will report to the Council the successful submission	Existing procedure adequate.	Clerk
Hall Booking System	Loss of data	L	Electronic records kept of booking emails and details entered in hard copy booking diary	Controls identified, adopted and implemented in 2024 Risk register are used and work effectively. Review annually	Clerk
Play Area	Damage to equipment Health & Safety Risk Risk to injury	L	“Playsafe” ROSPA endorsed inspection or area reinstated. Clerk regularly checks area for risks in accordance with bespoke schedule provided by Playsafe. Equipment closed off in event of any identified risk	Playsafe Inspection identified safety risks so “old” play equipment removed and measures in progress to replace	Clerk/Council
Community Centre	Damage to building Water leaks Hazards	L	Clerk regularly checks building for risks. Building alarmed with monitoring.	Controls identified, adopted and implemented in 2024 Risk register are used and work effectively. Review annually	Clerk/Council

RELEVANT DOCUMENTATION

- Standing Orders
- Financial Regulations
- Code of Conduct
- Equality Act 2010
- Employments Rights Act 1996
- Data Protection Act 2018
- Local Government Act 1972
- Local Government Act 2000
- Audit Commission Act 1998
- Local Government & Rating Act 1997
- Local Government Act 2003
- Local Audit and Accountability Act 2014
- Localism Act 2011