

## WILLOUGHBY PARISH COUNCIL – RISK REGISTER

Adopted by resolution on the 8<sup>th</sup> April 2025  
Minute Reference 13.1  
Review Date: October 2025

### What is Risk Management?

Risk is a threat that an event or action will adversely affect the council's ability to achieve its objectives, implement its strategies and provide its services. Risk management is the process by which risks are identified, evaluated, addressed and reviewed. The council recognises that it has a responsibility to take all reasonable and practical measures to safeguard its employees, the people it works with and provides services for; and to protect the natural and built environments for which it is responsible.

The council is aware that some risks cannot be eliminated fully and has in place a strategy that provides a structured, systematic and focused approach to managing risk and including where necessary, the introduction of internal controls and/or appropriate use of insurance cover.

### Objectives

The objectives of the risk management policy are to:

- Integrate risk management into the culture of the council
- Manage risk in accordance with best practice and legislative requirements
- Minimise loss, disruption, injury and damages
- Inform policy and operational decisions by identifying risks and their likely impact
- Raise awareness of the need for risk management

### These objectives will be achieved by:

- Identification of risk
- Undertaking risk assessments
- Managing the risk and recording actions
- Incorporating risk management considerations into council processes
- Providing appropriate training
- Establishing clear roles, responsibilities and reporting lines
- Effective communication with, and active involvement of, employees

## Risk Register

The risk register enables the parish council to assess the risks that it faces and confirm that it has taken appropriate steps to manage those risks. The council has broken the risks into three areas:

1. Financial and Management
2. Physical Equipment or Areas
3. Risks Specific to Willoughby Parish Council

The risks are identified, described and evaluated according to the potential consequence of the risk occurring (impact) and how likely this is (likelihood) i.e. high, medium or low risk. The response to risk may involve one or more of the following responses:

- **Tolerate the risk** – for the risks where the downside is containable with appropriate contingency plans or if the controls cannot be justified (e.g. because they would be disproportionate; and for unavoidable risks, e.g. terrorism.
- **Treat the risk** – by imposing controls so that the parish council can continue to operate; or my setting up prevention techniques
- **Transfer the risk** – by buying a service from a specialist external body or taking out insurance
- **Terminate** the activity giving rise to the risk (or not start) which involves intolerable tasks or those where no response can bring the risk to a tolerable level.

**The risks are identified, assessed and recorded on the following risk register and will be reviewed by the council every six months**

The asset register should be read in conjunction with this risk register

| FINANCIAL AND MANAGEMENT |  |       |  |  |
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| Subject                  | Risk(s) identified   | H/M/L | Management/control of Risk   | Review/Assess/Revise   |
| Precept                  | Adequacy of precept in order for the Council to carry out its statutory duties | M     | To determine the precept amount required, the Council regularly receives budget update information. At the precept meeting the Council receives a budget report, including actual position and projected position to the end of year. With this information the Council maps out the required monies for standing costs and projects for the following year and applies specific figures to budget headings, the total of which is resolved to be the precept amount to be requested from Rugby Borough Council. | Existing procedure is considered adequate. Experienced Chair has undertaken the process in previous years.   |
|                          | Requirements not submitted in time   | L     | The figure is submitted by the Clerk in writing.   | The Reserves policy was reviewed in March 2025. The Parish Council is aware that reserves are not sufficient and are setting budgets to enable the reserves to be built up |
|                          | Amount not received from RBC   | L     | Clerk monitors the bank account and reports on its receipt.  | The submission of the Precept demand is reported to the Parish Council.  |

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| Financial Records             | Inadequate records                                  | L | The Council has Financial Regulations which sets out the requirements.  | Existing procedures meet requirements.  |
|                               | Financial irregularities                            | L | Financial records are retained on Google Drive and shared with the Chair and other Councillors as required  |   |
| Bank and banking              | Lack of control over banking/procedures/checks      | L | The Council has Financial Regulations which set out banking requirements, including monthly reconciliation/reports presented at Parish Council meetings.<br><br>The Council maintains an online bank account with inputter/approver system for making payments. | Existing procedures ensure that banking controls are followed   |
| Reporting and auditing        | Reporting Information communication                 | L | Financial reporting is a monthly agenda item under Finance Report.<br>Members have the opportunity to discuss, question, review financial matters during the monthly Parish Council meeting.  | Relevant procedures in place.   |
| Grants                        | Receipt of grants                                   | L | Grant applications/procedures are followed, and decisions shared with members as and when relevant.   | Relevant procedures in place  |
| Grants and support payable    | Authorisation of Council to pay                     | L | All such expenditure must adhere to the Council process of approval, minuted and listed accordingly if a payment is made using S137 powers of expenditure.  | Financial procedures reviewed May 2024.   |
|                               |   |   | A Procedure for Applying for a Grant provides guidance to potential applicants.   | Procedure for applying for a Grant reviewed July 2024.  |
| Best value accountability     | Work awarded incorrectly.<br>Overspend on services. | L | Financial Regulations followed.<br>Quotations/estimates obtained where required.  | Existing procedure adequate.<br><br>Procedures are included in financial regulations.   |
|                               |   | M | Financial controls to be undertaken and monitored.<br>Procurement procedures to be followed.<br>Following Parish Council approval, where possible, local tradespeople will be awarded contracts/work.   |   |
| Salaries and associated costs | Salary paid in accordance with agreed terms.        | L | Contract of Employment in place for clerk.  | Contract of employment in place.<br>Payroll is approved by two Councillors.<br>Payroll is prepared using Basic Tools and submitted monthly to HMRC. |
|                               | Deductions properly paid to HMRC                    | L | Annual review of salaries to be undertaken before Annual Precept is agreed.<br>Financial Report to Members<br>HM Revenue and Customs REAL TIME procedures followed for NI and PAYE<br>Annual returns completed online within the required timescale             |   |
| Employees                     | Fraud by staff                                      | L | Requirements of Fidelity Guarantee insurance adhered to with regards to fraud.<br>Finance reports presented.  | Existing procedures meet requirements.  |

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|   | Health and safety   | L           | End of Year information reported/internal and external audit controls<br>All employees to be provided adequate direction and safety equipment needed to undertake their roles<br>Health and Safety at Work Policy is in place.   | Emails asking for payments to be approved are now sent to all Councillors.<br><br>Regular monitoring of health and safety requirements. Home working being the only existing role. |
| VAT   | Reclaiming/charging   | L           | The Council has Financial Regulations which set out the procedures to be followed. Reporting to the Council of VAT recovered.  | Existing procedures meet requirements  |
| External Audit Annual Return                  | Submit financial documentation as required within time limits     | L           | External Audit Annual Return completed and signed by the Council, submitted to internal auditor for completion and relevant checks.<br>The Clerk to ensure that further requests from the External Auditor are responded to promptly and reported to the Full Council. | Existing procedures meet requirements  |
| Legal Powers                                  | Illegal activity or payments                                      | L           | All activity and payments within the powers of the Parish Council to be resolved/approved at full Council Meetings.<br>Control presented through monthly finance reports   | Existing procedures meet requirements  |
| Minutes/agendas/ Notices Statutory Documents` | Accuracy and legality relating to official business documentation | L           | Minutes and agenda are produced in the prescribed manner by the Clerk and adhere to the legal requirements. Minutes are consecutively numbered, signed and dated by the chair.   | Existing procedures meet legal requirements.   |
|   | Business conduct  | L           | Agenda displayed according to legal requirements.<br><br>Business conducted at Council meetings should be managed by the Chair.  | Members adhere to Code of Conduct - each member signs a copy of the Code of Conduct.   |
| Members interests                             | Conflict of interests   | L           | Declarations of interest by members at Council meetings.   | Existing procedures adequate.  |
|   | Register of members interests                                     | M           | Register of members' interests' forms reviewed regularly and passed on to the local authority.   | Members take responsibility to update the register when required.  |
| Insurance                                     | Adequacy<br>Cost<br>Compliance<br>Fidelity Guarantee              | L<br>L<br>L | An annual review is undertaken of all insurance arrangements to include: <ul style="list-style-type: none"> <li>• Employers and Employee liabilities</li> <li>• Fidelity</li> <li>• Public Liability</li> <li>• Assets and Equipment</li> </ul>                        | Existing procedure adequate.<br>Insurance reviewed annually.   |
| Data protection                               | Policy provision  | M           | The Parish Council is registered with the Data Protection Agency   | Clerk is the Data Protection Officer.  |

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| Freedom of Information             | Policy Provision   | L<br>M      | The Council has a Model Publication scheme in place. Fees for information should be based on time management in obtaining such information  | Publication Scheme approved 8.11.2022<br><br>Monitor any requests made under FOI   |
| <b>PHYSICAL EQUIPMENT OR AREAS</b> |  |             |   |  |
| Assets                             | Loss or damage<br>Risk/damage to third party(ies) property   | L           | An annual review of assets is undertaken for insurance provision  | Assets register up to date reviewed April 2024   |
| Maintenance                        | Poor performance of assets or amenities.<br>Risk to health and safety to the public.                               | L           | All assets owned by the Parish Council are regularly inspected, reviewed, and maintained. All repairs and relevant expenditure relating to repairs are actioned/authorised in accordance with the correct procedures of the Parish Council.<br><br>Assets are insured.  | Existing procedures meet requirements<br>Playground is inspected at least every three months and any damage risk assessed  |
| Notice Board                       | Risk of damage   | L           | The Parish Council currently has 1 notice board. A councillor inspects the notice board at least once every month and any damage or faults are dealt with, as required.   | Existing procedures meet requirements  |
| Meeting locations                  | Adequacy<br>Health & Safety  | L           | The Parish Council meeting is held in the Village Hall. This has appropriate facilities for the Clerk, members and the general public.<br>The venue is compliant with Disability Laws.  | Venue meets requirements.<br>Village Hall risk assessment now received   |
| Council records – paper            | Loss through:<br>Theft<br>Fire<br>Damage   | L<br>L<br>L | Physical historical records include historical correspondences, minutes, insurance policy and information, bank records, policies, data protection records, Members' declarations of interests.<br>All documents are kept secure.   | Google Drive is a secure area.<br><br>Damage (apart from fire) and theft is unlikely and so provision meets the expected requirements.<br>The Clerk has contacted WALC to establish where records can be stored. |
| Council records – electronic       | Loss through:<br>Theft, fire damage or corruption of computer  | L           | With effect from May 2022 the Parish Council records are stored on the Google Drive on the Clerk's email account.<br>Password is shared with the Chair.   | Existing procedures meet requirements.   |
| Business Continuity                | 1.Incapacity of Clerk including impact of a pandemic<br>2. Resignation of the Clerk<br>3. Loss or theft of records | M           | Make arrangements to delegate authority to the Clerk to make decisions on behalf of Council, in the event that Council cannot meet in person, to ensure that the business of the Council may continue uninterrupted. This would be in the event that no legislation has been passed by the Government to hold meetings remotely using video conferencing. | Designate a person to temporarily act as Clerk in absence of the Clerk<br><br>Process to be in place, job description, person specification in place (advice from NALC)  |

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|  | <p>4. Failure to retain or secure the necessary number of Members for a Council</p> <p>5. Pandemic</p> |   | <p>As soon as a vacancy arises, Rugby Borough Council's Electoral Officer is contacted and dates agreed for advertisements.</p> | <p>All old copies of Minutes prior to electronic to be deposited with the County Records.</p> <p>All minutes from January 2015 are held on the Council's website.</p> <p>All records are maintained on Google Drive and are shared with the Chair</p> <p>Process for recruiting a Councillor has been established.</p> <p>Co-option policy and procedure in place.</p> <p>Make arrangements to delegate authority to the Clerk to make decisions on behalf of Council, in the event that Council cannot meet in person, to ensure that the business of the Council may continue uninterrupted. This would be in the event that no legislation has been passed by Government to hold meetings remotely using video conferencing. Scheme of Delegation approved 14.5.2024</p> |
| <b>RISKS SPECIFIC TO WILLOUGHBY PARISH COUNCIL</b> |  |   |   |   |
| Flooding   | <p>Loss or damage</p> <p>Risk/damage to third party(ies) property</p>                                  | L | <p>The village does flood with vehicles driving at speed through flood water causing further damage</p>                         | <p>Flood action group set up as a result of the Annual Community Meeting in 2022.</p> <p>The Action Group has taken several measures to mitigate flooding, including raising concerns with WCC who have carried out work to support that of the volunteers</p>  |
| Lamp posts   | <p>The entire street light stock has been upgraded to LED</p>  | L | <p>Lamp posts will be monitored for damage and the cost of replacement factored into the budget</p>                             | <p>Lamp posts are inspected regularly and damage is reported by residents</p>   |

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|                     | and all concrete posts replaced                                  |   |   |  |
| Playground          | Safety of play equipment   | L | Annual RoSPA inspection and quarterly inspections by a councillor   | Annual RoSPA inspection, regular inspections by the Parish Council. Insurance in place   |
|                     | Shelter – broken slabs   | M | Broken slabs are inspected regularly to ensure they will not cause a trip hazard  | The trip hazard is assessed as minimal. The slabs will be regularly inspected to ensure they do not deteriorate further causing an increased hazard. |
| Emergency Planning  | Residents need to know who to call in the event of an emergency  | M | An Emergency Planning document has been published. Linked documents from the Flood Action Group describe the impact of flooding on residents and measures to take before, during and after a flooding event.        | The Emergency Planning document was updated in November 2024 and will be reviewed annually or before, if necessary.                                  |
| Village Pond        | Cost of maintenance  | M | A risk assessment was carried out in November 2024. The recommendations of a buoyancy aid life ring, signage – Danger Deep Water and Do Not Climb the Fence, repainting of SLOW on the road have all been actioned. | Review in the event of an accident or incident.  |
|                     | Potential for a child or vulnerable person to fall into the pond | M |   |  |
|                     | Blue-green algae is a potential danger for dogs                  | L |   |  |
| Website Maintenance | The website is maintained by one individual                      | M | Website maintenance companies have been approached and will only quote if they have built the website.  | To review should the individual wish to step down from maintaining the website   |

The Risk Assessment is reviewed every 6 months and an action plan will be set up to ensure the Council has up-to-date procedures and that policies are adhered to in line with Government guidelines/Governance and accountability and best practise.