

WILLOUGHBY PARISH COUNCIL – RISK REGISTER

Adopted by resolution on 9th April 2024

Minute Reference 14.1

Review Date: October 2024

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				
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.	Reserves policy is now in place. This has highlighted that the reserves are not sufficient. The Parish Council is aware and future budgets will be set 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.

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. 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. 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. A Procedure for Applying for a Grant provides guidance to potential applicants.	Financial procedures approved April 2022 and reviewed April 2023. Procedure for applying for a Grant approved February 2023.
Best value accountability	Work awarded incorrectly. Overspend on services.	L	Financial Regulations followed. Quotations/estimates obtained where required.	Existing procedure adequate. Procedures are included in financial regulations.
		M	Financial controls to be undertaken and monitored. Procurement procedures to be followed. 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. Annual review of salaries to be undertaken before Annual Precept is agreed.	Contract of employment in place. Payroll is approved by two Councillors. Payroll is prepared using Basic Tools and submitted monthly to HMRC.
	Deductions properly paid to HMRC	L	Financial Report to Members HM Revenue and Customs REAL TIME procedures followed for NI and PAYE Annual returns completed online within the required timescale	
Employees	Fraud by staff	L	Requirements of Fidelity Guarantee insurance adhered to with regards to fraud. Finance reports presented.	Existing procedures meet requirements.

	Health and safety	L	End of Year information reported/internal and external audit controls All employees to be provided adequate direction and safety equipment needed to undertake their roles Health and Safety at Work Policy is in place.	Emails asking for payments to be approved are now sent to all Councillors. 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. 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. Control presented through monthly finance reports	Existing procedures meet requirements
Minutes/agendas/ Notices Statutory Documents`	Accuracy and legality relating to official business documentation Business conduct	L 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. Agenda displayed according to legal requirements. Business conducted at Council meetings should be managed by the Chair.	Existing procedures meet legal requirements. Members adhere to Code of Conduct - each member signs a copy of the Code of Conduct.
Members interests	Conflict of interests Register of members interests	L M	Declarations of interest by members at Council meetings. Register of members' interests' forms reviewed regularly and passed on to the local authority.	Existing procedures adequate. Members take responsibility to update the register when required.
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L	An annual review is undertaken of all insurance arrangements to include: <ul style="list-style-type: none"> • Employers and Employee liabilities • Fidelity • Public Liability • Assets and Equipment 	Existing procedure adequate. Insurance reviewed annually.
Data protection	Policy provision	M	The Parish Council is registered with the Data Protection Agency	Clerk is the Data Protection Officer.

Freedom of Information	Policy Provision	L 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 Monitor any requests made under FOI
PHYSICAL EQUIPMENT OR AREAS				
Assets	Loss or damage 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. 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. Assets are insured.	Existing procedures meet requirements
Notice Board	Risk of damage	L	The Parish Council currently has 1 notice board. No formal inspection procedures are in place, but any reports of damage or faults are reported to the Parish Council and dealt with in accordance with Council procedures.	Existing procedures meet requirements
Meeting locations	Adequacy 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. The venue is compliant with Disability Laws.	Venue meets requirements. Village Hall risk assessment now received
Council records – paper	Loss through: Theft Fire Damage	L L L	Physical historical records include historical correspondences, minutes, insurance policy and information, bank records, policies, data protection records, Members’ declarations of interests. All documents are kept secure.	Google Drive is a secure area. Damage (apart from fire) and theft is unlikely and so provision meets the expected requirements. The Clerk has contacted WALC to establish where records can be stored.
Council records – electronic	Loss through: 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. Password is shared with the Chair.	Existing procedures meet requirements.
Business Continuity	1.Incapacity of Clerk including impact of a pandemic 2. Resignation of the Clerk 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 Process to be in place, job description, person specification in place (advice from NALC)

	<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 4.10.2022</p>
RISKS SPECIFIC TO WILLOUGHBY PARISH COUNCIL				
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.</p>
Lamp posts	<p>The entire street light stock has been upgraded to LED and all concrete posts replaced</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>

Playground	Safety of play equipment		Annual RoSPA inspection and monthly inspections by a councillor	Annual RoSPA inspection, regular inspections by the Parish Council. Insurance in place
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 February 2024 and will be reviewed annually or before, if necessary.
Village Pond	Cost of maintenance Potential for a child or vulnerable person to fall into the pond Blue-green algae is a potential danger for dogs	M M L	The risks associated with the Village Pond were discussed by the Parish Council. The deep end is not accessible and no accidents have taken place in living memory. The risks are deemed minimal.	Review in the event of an accident or incident Signage "Danger Keep off any ice" is in place.
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.