

Willand Parish Council Risk Register

Risk Area	Identified Risk	Level of Risk (H/M/L)	Mitigation/ Management and Control	Actions Required for either: 1. further mitigation/Control, or 2. maintenance of current mitigation/control
Physical Assets i.e. Play Areas, Open Spaces, Cemetery, Allotments, Buildings, bus shelters, benches, bins etc...	Loss or Damage	M	<ul style="list-style-type: none"> • Appropriate level of insurance in place • Regular inspections undertaken and recorded • Identified issues are assessed and rectified in a timely manner based on risk factor • Clerk ensures that contractors have correct insurance in place • Contractors responsible for own risk assessments • Grounds Maintenance Contracts in place monitored with issues identified and addressed • Appropriate Policies and Procedures in place • Tree Management Strategy & Inspection Schedule in place with work carried out as identified based on risk factor • Asset Register maintained, reviewed and updated at least quarterly to ensure all assets correctly recorded 	<ul style="list-style-type: none"> • Review insurance annually to ensure adequate • Clerk to identify annually if any further training is required • Relevant policies & procedures reviewed annually • Risk assessments reviewed annually • Asset Register reviewed quarterly • Regular contract monitoring • Compliance with inspection arrangements monitored
	Public liability – injury/accident			

			<ul style="list-style-type: none"> • Clerk maintains an up-to-date knowledge of relevant legislation • Allotment Association manages the allotments on a day to day basis and liaises with the Clerk re any issues which are addressed based on risk factor • Individual more detailed risk assessments are completed for Play, Recreation and Open Space, the Cemetery and the Allotments which all have public access 	
Financial	Accounting	M	<ul style="list-style-type: none"> • The Council has appointed a Responsible Financial Officer (RFO), who maintains an up-to-date knowledge of relevant legislation & guidance • The Council has approved Financial Regulations which are reviewed at least annually and cover all aspects of the Council's Finances • Council has an approved investment strategy, which is reviewed at least annually • The Council has approved Standing Orders, which are reviewed annually 	<ul style="list-style-type: none"> • Clerk/RFO to identify annually if any further training is required • Review insurance annually to ensure adequate • Relevant policies & procedures reviewed annually • Continue to use appropriate specialist software to record financial transactions and monitor and set budgets
	Banking			
	Financial loss – error & fraud			
	Audit			
	Procurement			

			<ul style="list-style-type: none"> • Appropriate level of insurance in place, including Fidelity Guarantee • Council uses specialist accounting software designed for Towns and Parishes with the Clerk and one of the Councillors appointed as administrators • The Council has appropriate banking arrangements in place, which are reviewed regularly and updated as required • Access to banking and the Council's accounting system are individually password protected • Approval of payments is set out in the Financial Regulations • The Council has annual internal and external audits and reviews and acts on any recommendations • The Council sets a budget, including its Precept annually in January • The Clerk reconciles the bank accounts monthly • The Clerk monitors spend against budget, identifies areas of concern and provides 	
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			<p>Councillors with a monthly update</p> <ul style="list-style-type: none"> • The Council makes financial decisions and approves contracts in accordance with the Financial Regulations and these decisions are minuted • Specialist advice is sought as required from a professional association or organisation 	
Office Equipment IT and Information Management	Failure/Damage/Loss/Theft	M	<ul style="list-style-type: none"> • Appropriate level of insurance in place • Asset Register maintained, reviewed and updated at least quarterly to ensure all assets correctly recorded • The Council has an approved GDPR policy and an approved IT Policy, which are reviewed annually • Equipment is locked away. Computer equipment is located at the Clerk's home address in an upstairs office • The Council uses a cloud-based system for its electronic documentation • Secure password protected software is used for some processes i.e. specialist financial software, Cemetery software and Payroll. 	<ul style="list-style-type: none"> • Review insurance annually to ensure adequate • Relevant policies & procedures reviewed annually • Asset Register reviewed quarterly • Access to accounts controlled via the Clerk with one Councillor as agreed by Council as an emergency backup. The Clerk will continue to review access monthly and remove/add individuals in a timely manner • Clerk to continue to ensure that the Council uses appropriate software to manage its information
	Security & GDPR			
	Loss of information			

			<ul style="list-style-type: none"> • All Council owned devices and access to online accounts/software are individually password protected • The Clerk and one of the Councillors are administrators for all online based accounts including social media and the website and the Clerk ensures access is reviewed and updated at least monthly • Where access is no longer required, a Councillor resigns or member of staff leaves the Council's employment access to all cloud based IT and software is removed within 1 working day. The individual will also be requested to remove any information held on personal devices immediately • Regular visual safety checks are carried out on equipment • Old equipment is disposed of securely 	
Document Retention	Loss/Damage/Theft Security & GDPR	L	<ul style="list-style-type: none"> • Hard copy documents stored in locked premises. Sensitive documents are stored in a locked filing cabinet and locked document box 	<ul style="list-style-type: none"> • Relevant policies & procedures reviewed annually • Documents to be reviewed at a minimum once every 2 years and those no longer required destroyed. Any documents still required to be

			<ul style="list-style-type: none"> • Older documents are stored at Devon County Council's secure storage facility • Documents are scanned in where possible and hard copies destroyed if not required to be kept for legal reasons • The Clerk uses a shredder to destroy sensitive/confidential documents that are no longer required • The Council has an approved GDPR policy, which is reviewed annually 	scanned in or removed to the secure storage facility as appropriate
Staffing	Sickness	M	<ul style="list-style-type: none"> • Appropriate level of employer's liability insurance in place • The Council has a number of employment policies in place such as Sickness Absence, Disciplinary & Capability, Grievance, Health and Safety and Equality and Diversity, which are reviewed annually • Lone working is covered in the Health & Safety Policy • The Council 's Sickness Absence Policy sets out reporting procedures and management of sickness absence 	<ul style="list-style-type: none"> • Review insurance annually to ensure adequate • The Clerk to identify annually if any further training required • Relevant policies & procedures reviewed annually
	Resignation & loss of knowledge			
	Recruitment			
	PAYE/Pensions			
	Working Environment			
	Health and Safety inc. Lone Working			
	Capability/ Disciplinary/Grievance			

			<ul style="list-style-type: none"> • The Council 's Disciplinary & Capability Policy sets out how disciplinary and performance issues/concerns will be managed • The Council has built a contingency into its budget to cover the financial implications of sickness and other additional staffing requirements • Recruitment is carried out in a timely manner and advertised in appropriate publications and websites. Role requirements are reviewed to ensure appropriate for the post • Job descriptions and person specifications are updated when there are changes to the role other than minor changes • Clerk is required to give 3 months' notice following probationary period and the Council has a practice of a month's handover between Clerk's with key information stored and accessible electronically • The Council uses HMRC Basic Tools to manage its payroll and ensure compliance with PAYE legislation 	
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			<ul style="list-style-type: none"> • The Council has Nest as its pension provider and the Clerk ensures that pension enrolment and contribution requirements are adhered to • The Clerk reports Staffing Costs to Council and these are minuted as appropriate ensuring confidentiality is maintained • Each employee has a contract of employment • Appropriate risk assessments are carried out as required • The Clerk has received appropriate training and maintains an up-to-date knowledge of legislation 	
Reputation	Poor Decision-making Failure to do or not to do something that has a negative community impact Interaction with the public in the meetings, in the press and on social media that portrays the Council in a poor light	M	<ul style="list-style-type: none"> • The Council has approved standing orders and a suite of policies in place to guide decision-making. All policies are reviewed at least annually • The Clerk provides legal and statutory guidance to inform decision-making and maintains an up-to-date knowledge of legislation and guidance • Specialist advice is sought as and when required • Decisions are recorded in the Council minutes and advice, 	<ul style="list-style-type: none"> • The Clerk to identify annually if any further training required • Review insurance annually to ensure adequate • Relevant policies & procedures reviewed annually

			<p>rationale and risks are set out in supporting papers</p> <ul style="list-style-type: none"> • Appropriate level of insurance in place, including Fidelity Guarantee • The Council has a Code of conduct and Press and Media Policies to ensure that interaction with the public and the press is appropriately managed. These are reviewed at least annually • The District Council Monitoring Officer is responsible for matters relating to Councillor conduct if this breaches the Code of Conduct or is illegal 	
Local Government Re-Organisation	Additional cost to Parish Council to maintain or take on assets and services	H	<ul style="list-style-type: none"> • The Parish Council has set aside sums in reserves for the acquisition of assets and/or services, including legal costs. • The Parish Council already leases some key assets and bears maintenance costs. • The Parish Council is making enquiries on full acquisition for the two larger play areas/ open spaces it leases. • Regular liaison with the new authority at both Officer and Councillor level. 	<ul style="list-style-type: none"> • Continued dialogue as the decision and appointment of a new authority progresses • Promote the importance of local representation and push for named contacts at the new authority • Continue discussions on the acquisition of assets and the plans for assets held by the outgoing and incoming authorities and the future of service delivery • Fully cost out all additional expenditure to the Parish Council from asset and/or service acquisition at the early stages of discussion and how ongoing maintenance will be paid for
	Loss of assets and/or services			
	Remoteness of new authority – lack of local representation and understanding of local issues			
	Increased workload requiring additional staffing/ changes to working hours			

				<p>and any contributions that will be made by the principal authority</p> <ul style="list-style-type: none">• Increase awareness and understanding of the importance of the role of Parish Councillor and actively seek to fill vacancies on the Parish Council• Hold discussions with staff early and undertake staffing reviews in a timely manner as part of the process of acquiring assets and/or services
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