

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, 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 sense based on risk factor • Clerk ensures that contractors have correct insurance in place when contracts awarded • Asset Register maintained, reviewed and updated at least quarterly to ensure all assets correctly recorded • Clerk maintains an up-to-date knowledge of relevant legislation 	<ul style="list-style-type: none"> • Review insurance requirements annually to ensure adequate • Review contractor insurance annually • Clerk to identify if any further training is required
	Public liability – injury/accident	H	<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 sense based on risk factor 	<ul style="list-style-type: none"> • Review insurance requirements annually to ensure adequate

			<ul style="list-style-type: none"> • Clerk ensures that contractors have correct insurance in place when contracts awarded • Asset Register maintained, reviewed and updated at least quarterly to ensure all assets correctly recorded • Clerk maintains an up-to-date knowledge of relevant legislation, including health and safety 	<ul style="list-style-type: none"> • Review contractor insurance annually • Clerk to identify if any further training is required
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 • Appropriate level of insurance in place, including Fidelity Guarantee • Council uses specialist accounting software designed 	<ul style="list-style-type: none"> • Clerk/RFO to identify if any further training is required • Review insurance requirements annually to ensure adequate
	Banking			
	Financial loss – error & fraud			
	Audit			
	Procurement			

			<p>for Towns and Parishes with the Clerk and one of the Councillors appointed as administrators</p> <ul style="list-style-type: none"> • 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 Councillors with a monthly update • The Council makes financial decisions and approves contracts in accordance with 	
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			<p>the Financial Regulations and these decisions are minuted</p> <ul style="list-style-type: none"> Specialist advice is sought as required from a professional association or organisation 	
Office Equipment and IT	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, which is 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 All computers, cloud access, applications, memberships, social media, the website and web-based accounts etc... are individually password protected. The Clerk and one of the Councillors are Microsoft, Facebook and website administrators and the Clerk ensures access is reviewed and updated at least monthly 	<ul style="list-style-type: none"> Review insurance requirements annually to ensure adequate
	Security & GDPR			
	Loss of information			

			<ul style="list-style-type: none"> Regular visual safety checks are carried out on equipment 	
Document Retention	Loss/Damage/Theft	L	<ul style="list-style-type: none"> Documents stored in locked premises. Sensitive documents are stored in a locked filing cabinet and locked document box 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 	
	Security & GDPR			
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, Grievance, Health and Safety and Equality and Diversity, which are reviewed annually Lone working is covered in the Health & Safety Policy 	<ul style="list-style-type: none"> Review insurance requirements annually to ensure adequate The Clerk to prepare a Disciplinary and Capability Policy for Council to approve
	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 Sickness Absence Policy sets out reporting procedures and management of sickness absence • 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 appropriate for the post • 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 • The Council has Nest as its pension provider and the Clerk ensures that pension enrolment and contribution requirements are adhered to 	
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			<ul style="list-style-type: none"> • 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 	<ul style="list-style-type: none"> • The Clerk to identify if any further training required
Reputation	Poor Decision-making	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, rationale and risks are set out in supporting papers • Appropriate level of insurance in place, including Fidelity Guarantee 	<ul style="list-style-type: none"> • The Clerk to identify if any further training required • Review insurance requirements annually to ensure adequate
	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			

			<ul style="list-style-type: none"> • 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 	
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