

MIDDLEZOY PARISH COUNCIL

Risk Register and Assessment 2016 - 2017

Four parameters:

1. Identify the areas to be reviewed
2. Identify the risk
3. Evaluate the management and control/mitigation of risk and record
4. Review, assess and revise, adapt and modify as necessary

FINANCIAL					
SUBJECT	RISK	L	S	HML	ACTION/MITIGATION
Precept	Adequacy. Submission. Receipt	1	5	L	Budget on Agenda Autumn. Minute decisions. Inform Council on receipt.
Financial Records	Adequacy. Financial irregularities	1	5	L	Financial Regs and monthly bank reconciliations
Banking	Inadequate checks, mistakes incurring charges	1	4	L	Financial Regs. Monthly bank reconciliations
Cash	Theft or loss	1	4	L	None held
Reporting and Auditing	Information/communication	1	3	L	Quarterly statement to Council
Direct costs/Debts	Goods billed not supplied/unpaid invoices	2	2	L	Lists of invoices for approval checked and signed with cheques by 2 members
Grants payable	Power to pay under Section 137 Local Government Act	1	2	L	Approved and minuted and within approved guidelines
Grants received	Check eligibility and receipt	1	2	L	Approved and minuted for authority to pursue
Best value/accountability	Work awarded inappropriately/overspend on services	1	3	L	Competitive quotes/tenders
Salaries/expenses	Incorrect payment/wrong hours	1	5	L	Contract, JD and Chair checking hours worked and signing off
PAYE	Incorrect payment	2	5	M	Accountants check
Councillor allowances	Overpayment	1	3	L	Not applicable
Election costs	Risk of election	2	2	L	Ensure sufficient funds in budget
VAT	Exceed reclaim deadline	1	3	L	Financial Regs. Internal audit
Annual Return	Miss deadlines	1	5	L	Agenda item for Annual Parish meeting.
MANAGEMENT/legal					
Business Continuity	Inability to continue business due unexpected events: pandemic/natural disaster	2	3	M	Establish Business Continuity Plan
Legal Powers	Illegal activity or payments	1	5	M	Standing Orders. All minuted.
Legislative/Statutory/regulatory changes	Acting unlawfully	1	5	M	Regular training for Clerk and members
Minutes, Agendas, notices	Accuracy and legibility	2	2	L	Standing Orders, checking, approval and signing, publish and display
Meetings	Disruption/public disorder	3	5	M	Chairman to manage conduct of meeting guided by Clerk. In event of serious disruption Police may be called.

					Risk assessment
Members interest	Conflict of interest: personal or prejudicial. Damage of reputation of the Council or charges of corruption	3	5	M	Declarations of Interest as Agenda item and review of register book annually
Predetermination	Members accused of crime of "showing bias in Public Office"	3	5	M	Member training and Clerk guiding
Employees	Loss of key personnel, fraud, health and safety	2	5		Continuity plan. Fidelity insurance. Training and supervision
ASSETS					
Insurances	Adequacy/cost/compliance and fidelity	1	5	L	Annual review, Employers liability. Guidance from SALC/Auditor
Assets	Loss/damage/risk to third party	2	5	M	Adequate insurance, annual review
Maintenance of play area, wooden Youth Shelter	Poor performance/loss of income/risk to third parties/vandalism	2	5	M	Review, repair, insure. Risk assessments
Notice Boards and signs	Risk to third parties/roadside danger/vandalism	1	5	L	Inspection, insurance. Key kept by Clerk
Parish laptop	Theft/loss/fire	1	5	L	In Clerk's possession. Insured.
Community Shop building	Vandalism/fire/Third party risk	1	3	L	Inspection. Insurance
HEALTH AND SAFETY					
Meetings location	Adequacy and risks of venue	1	5	L	Risk Assessment
Site visits/footpaths	Weather/road/animal/countryside risk and dangers	2	5	M	Risk Assessments
Personnel	Risk - home working	1	5	M	Clerk to risk assess
COMPLIANCE					
Health and Safety	Risk to Clerk and/ or members	3	5	M	Adequate training
Council records - archive	Loss through theft, fire, damage	2	5	M	Careful storage/archiving
Council records- electronic	Ditto and computer crash	3	5	M	Careful storage/back-up on external hard disk/memory stick
Data Protection	Infringement deliberately or accidentally	2	5	M	Register with DPA/adopt policy. Training
Freedom of Information Act	Council reputation and time resources to answer	3	5	M	Model scheme/complaints procedure, training
Employment Law	Dispute with employee	2	5	M	Contract, JD and grievance procedure

KEY:

L = Likelihood – position of being likely or probable score 1 2 3 4 5

x

S = Severity – position of most harm to individual/s or organisation 1 2 3 4 5

Score: 1 -5 = low Risk is being managed adequately or within reasonable boundaries.

Score: 6- 15 = medium Risk is reasonable but requires further action to mitigate.

Score: 16-25 = high Risk is unacceptable and activity should be **ceased until** remedial action is taken.

C M Sidaway

Signed..... Date 16/4/2016 Adopted by Council. April 2016
(Clerk to Council and Responsible Financial Officer)