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RISK REGISTER

Signed:L Morgan.....
The Chair of Stantonbury Parish Council

Date:17/05/23.....

Document History

Reviewed by Chairman & RFO	12.05.2021
Reviewed at Annual Meeting	19.05.2021
Reviewed by RFO	May 2021
Reviewed by Senior Admin	June 2021
Adopted at Main Meeting following previous draft version updates.	07.07.2021
Council agreed to add Covid Risk assessment to this policy	20.04.2022
Reviewed and Adopted at Annual Meeting	18.05.2022
Reviewed and Adapted from SLCC notes	24.03.2023
Reviewed by Clerk	09.05.2023
Signed and adopted at Annual Meeting	17.05.2023

This risk assessment does not cover any fire related items as this is covered by a separate 'Fire Risk Assessment'.

Risk / Trigger	Notes and Actions to Manage Risks	Impact	Likelihood	Score
Disaster impacting on Parish	<ul style="list-style-type: none"> • Emergency Plan including contact list of resources maintained by Administration Team. • Key individuals will make themselves available. • Common sense is used to determine appropriate action. • Actively listen to and monitor any communications. • Accept instructions from Emergency Services and Key individuals from Stantonbury Parish Council. 	High 4	Low 2	8
Sudden loss of staff	<ul style="list-style-type: none"> • Lots of tasks are shared to reduce impact. • Succession plans discussed. • Use of agencies/temporary staff/recruitment. 	Medium 3	Low 2	6
Sudden large expenditure required for excessive under budgeting	<ul style="list-style-type: none"> • Stantonbury Parish Council has established adequate reserves. • Insurance in place with major insurer Aviva to cover major risks. • Correct deficit via budget planning over subsequent years. • Committees review budget requirements in advance of precept being set by the Council. 	Medium 3	Low 2	6
Loss of money through fraud, theft, poor accounting systems	<ul style="list-style-type: none"> • Documented procedures in place to prevent/detect including authorisation and independent audit. • Informal monitoring, trust, and spot checks. • Financial reports are presented to the Finance Committee and Main Meetings at every meeting. • Investment Strategy and Policy priorities security and liquidity of funds. • Annual review of insurance. • Limited cash kept on premises. • Security safe in use – only three keys issued. • Multiple signatories on accounts/cheques. • Experienced, trained staff. • Annual review of effectiveness of auditor. • Electronic banking procedures in place, with secure passwords. • Use of only recognised banks for banking and investment needs. Risks spread across various bank accounts. • RFO provide support with VAT payments and claims when needed. 	Medium 3	Low 2	6

Risk / Trigger	Notes and Actions to Manage Risks	Impact	Likelihood	Score
Action of Council having undesired negative impact on other parties	<ul style="list-style-type: none"> • Transparent procedures and processes in place to reduce likelihood in day-to-day services. • Effective project management/action planning/risk management procedures in place for all defined projects. • Insurance in place to cover any resulting financial losses. • Expert/professional input sought where appropriate. • Councillors are elected rather than employed therefore pose a reputational risk to the Parish Council. Mitigation measures in place include: <ul style="list-style-type: none"> ○ Non-party political culture encouraged; ○ Register of Interests and Gifts and Hospitality; ○ Parish Councillors available and prepared to discuss any impacts at any time; ○ Staff and councillors to have up to date training; ○ Ensure all council activities are within legal power of the council; ○ Council to be registered with Information Commissions Office (ICO) ○ Ensure all policies are up to date to meet statutory requirements. 	High 4	Low 2	8
Services and tasks having undesired outcomes	<ul style="list-style-type: none"> • All ordinary services are covered by service plans, with higher risk areas having their own specific risk management plans. • Expert/professional input sought where appropriate 	Medium 3	Low 2	6
Contractors not supplying agreed services	<ul style="list-style-type: none"> • All contracts are controlled by defined contracts or service level agreements 	Medium 3	Low 2	6
Confidential data being disclosed	<ul style="list-style-type: none"> • Retention and Destruction policy in place. • Limited confidential data held. • Security measures in place and used e.g., safes and shredding. • Any confidential aspects of reports are highlighted to Councillors. • ICT security in place including firewalls and passwords for PCs and sensitive documents. 	Medium 3	Low 2	6
Damage to third party property or individuals as a consequence of the Council providing services or amenities to the public (public liability)	<ul style="list-style-type: none"> • Regular Health and Safety risk assessments. • Regular safety checks. • Adequate insurance. • Training. 	Medium 3	Medium 3	9
Damage to third party property or individuals as	<ul style="list-style-type: none"> • Health and Safety risk assessments are carried out for each event. 	Medium 3	Medium 3	9

a consequence of the Council putting on a community event	<ul style="list-style-type: none"> • Event checklist produced covering all aspects of the event including an emergency plan. • Adequate Insurance policy in place. 			
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Risk / Trigger	Notes and Actions to Manage Risks	Impact	Likelihood	Score
Damage to physical assets owned by the Council – buildings, furniture, equipment, complete loss of ICT etc	<ul style="list-style-type: none"> • An up-to-date register of assets. • Physical verification of assets held on register. • Regular safety checks on physical assets. • Regular maintenance arrangements for physical assets. • Insurance regularly reviewed. • Buildings are re-valued every three years, in line with our insurance renewal. • Emergency Plan produced and updated. • Computer backups off site. • Reputable ICT support contractor/supplier. • Buildings alarmed for security and fire. • Physical security including key controls. • Staff training, including fire safety. 	Medium 3	Medium 3	9
Harm caused by failure to ensure adequate Health and Safety	<ul style="list-style-type: none"> • Risk Assessments carried out. • H&S Advisory Service provided by ACAS. • H&S induction for all staff. • Council property properly maintained. • Specific training provided as per risk assessment findings inc. First Aid. • Regular H&S Review meetings. • H&S covered in Finance Committee meetings. 	Medium 3	Medium 3	9
Employer Liability	<ul style="list-style-type: none"> • Ensure compliance with Employment Law through use of consultants (Bright HR) • Comply with Inland Revenue requirements through the use of payroll software linked to HMRC. • Legal compliance with Council activities ensured through advice from staff, SLCC, NALC and solicitors when necessary. Advice recorded in the minute 	Medium 3	Medium 3	9
Pandemic	<ul style="list-style-type: none"> • Follow government guidelines. • Managers Discretion 	Medium 3	Low 2	6