

Risk Register - Whyteleafe Village Council

Originally Adopted: 11 November 2019

Last review date: 13 February 2023

Ref no.	Risk Description	Risk Probability 1 (low) to 3	Impact of risk 1 (low) to 3	Untreated Risk - Probability x impact	Treatment	Control/ safeguard/ action	Risk Monitoring	Risk Manager
COUNCIL STATUS, GOVERNANCE AND REPUTATION								
1	Councillors (Cllrs) judged to have acted beyond the law and/or policies	1	3	3 (low)	Treat & Transfer	Clerk issues agenda and supporting papers for decisions by Council (includes reference to relevant powers/duties) prior to resolution at Council meetings. Review of 'Council Legal Liability' insurance annually.	Clerk and Cllrs	Chairman (at meetings)
2	Council operating without due care and attention (unforeseen consequences of its actions)	2	2	4 (medium)	Treat	All new Cllrs to be inducted by Clerk and undertake initial training from County Association. Regular training for all (incl Clerk).	Clerk	Council
3	Failure to respond to statutory events in a year	1	3	3 (low)	Treat & Transfer	Clerk to monitor all statutory correspondence plus maintain a annual action plan flagging Council duties. Have 'Officials Indemnity' insurance too.	Clerk to advise full Council quarterly	Chairman
4	Business interruption through loss of key personnel/ expertise	2	3	6 (medium)	Treat	Review conditions of service incl. bench-mark pay; provide regular appraisals and training/support. Provision for locum Clerk/RFO via earmarked reserve	Employee Panel (minimum annually)	Council
5	Bogus or inappropriate grant applicants/awards	2	3	6 (medium)	Treat	Adhere rigidly to Grant Scheme criteria rules. Avoid any group or organisation that is not local, is profit-making and/or with any hint of pecuniary connection with members of the Council. Applicants must also comply with rules set by other agencies.	Clerk	Council (via grant scheme rules/ Cllr Code of Conduct)

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6	Failure to respond to FOI and/or Data Protection requests.	1	3	3 (low)	Treat	Clerk to log requests and report to Chairman to monitor timing/ adequacy of response.	Clerk	Chairman
FINANCE E.G. FINANCIAL CERTAINTY								
7	Payroll: non-compliance with HMRC rules	1	3	3 (low)	Transfer	Services of a certified payroll bureau used. Payslips copied to payment schedules for inspection.	Clerk (monthly)	Council
8	Pensions: non-compliance with Pensions Regulator	1	2	2 (low)	Tolerate & Treat	Clerk to respond to statutory notifications and advise Cllrs.	Clerk to advise full Council	Council
9	Financial inaccuracy	1	2	2 (low)	Treat & Transfer	Role of RFO in compliance with Financial Regulations & 'Practitioners Guide'. Internal Auditor changed in 2021 – two meetings per annum.	Clerk	Councillor (not Chairman)
10	Loss of income e.g. precept unable to fulfil budget over three years	2	3	6 (medium)	Treat	Budget review (of all potential projects) and setting between September and December each year. Financial performance monitored by all (using quarterly financial statement and variance report). Threat of delegated responsibilities monitored by Cllrs attending District Council Assemblies (quarterly)	Cllrs (quarterly)	Council (December and January)
11	VAT - inaccuracy, inability to reclaim	2	2	4 (medium)	Treat	Clerk to check VAT invoices on a monthly basis (cashbook entries) and submit reclaim annually to HMRC	Clerk	Chairman

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SECURITY E.G CRIME								
12	Fraud by staff	1	3	3 (low)	Treat & Transfer	Have 'Fidelity Insurance' plus Cllrs to monitor financial matters in accordance with Financial Regulations e.g. at least quarterly checks.	Chairman	Council
13	Loss of assets/property e.g. crime, damage	2	2	4 (medium)	Treat and Transfer	Adequate property insurance overseen by Clerk. Adequate locks of all equipment in storage and keep a register of key-holders. All street furniture to be adequately secured (seek third party advice) and checked (annually).	Clerk	Council (routine annual inspection as part of asset list review)
PROPERTY E.G. DAMAGE								
14	Notice Boards causing personal injury	1	1	1 (low)	Transfer	Maintain (if damaged) and log condition via Asset List. Annual inspection of condition. Public Liability and personal injury insurance in place	Clerk to check condition	Council (annually)
15	Attachments to lamp columns - falling to ground	1	3	3 (low)	Transfer	Only use County Council approved contractors etc (verified via 'attachments licence application each time) Public Liability Insurance (£10m)	Clerk (to follow County rules)	Clerk (advise Council each time)
16	Meeting Rooms - unsafe e.g. tables and chairs	1	2	2 (low)	Treat & Transfer	Clerk to check room prior to start of meetings and heed/pass on any warnings from venue. Public and Personal Injury insurance (Clerk) in place	Clerk and/or host of meetings to action	Individuals attending (duty of care)
17	Community Garden e.g. safety of steps, furniture, glass causing injury	2	3	6 (medium)	Treat & Transfer	Visual inspections each time anyone (incl gardeners) visit. Clear problem and report any damage to Clerk for action/recording. Public Liability Insurance (£10m) in place	Clerk, Cllrs, volunteers and contractors	Clerk

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18	Loss of key documentation	1	3	3 (low)	Treat	Lockable and fire resistant cabinet in use for the storage of key documents (e.g. legal documents). Copies to be used for reference at all times.	Clerk	Council
I.T (e.g. FAILURE)								
19	Lack of a current backed-up system/ system corruption/ loss of data	3	3	9 (high)	Treat	Clerk to install scheduled back-ups on a weekly basis. Second back-up to external drive on a monthly basis	Clerk	Chairman
20	Hacking of systems/ website. Threats to cyber security	1	3	3 (low)	Transfer	Specialist contractor employed to back-up and support the Council's website and email systems. Consider value of 'cyber' insurance.	Clerk	Chairman
21	Loss of passwords and access to Council systems	2	3	6 (medium)	Treat	IDs and passwords to be kept remotely by Clerk. Accessible to Chairman	Clerk	Chairman
OTHER RISKS								
22	Meetings with members of the public - risk of harm (attack or abuse)	1	3	3 (low)	Treat	No-one to meet a member of the public alone and in an unpopulated (isolated) place. Full contact details of individuals to be obtained and tested prior to meeting.	Cllrs and Clerk	(Duty of Care)
23	Contractors - poor workmanship, unsafe work, lack of insurance	2	2	4 (medium)	Treat & Transfer	Seek recommendations, evidence of work, copy of public liability insurance (min £5m) and competence certificates. Council PL of £10m too.	Clerk	Council (insurance)
24	Injury to volunteers (minor to severe)	3	3	9 (high)	Treat and Transfer	At all Council tasks involving volunteers, a Council representative to be present and pass on the risk assessment and method statement. Council PL of £10m too.	Clerk and/or one Cllr present	Council

Next document review due date: 2024