

## Catterall Parish Council – Risk Register 2021/22

Risk No	Risk Identified	Management/Control of Risk	Likelihood	Impact	Score	Action/Review
1	<b>Financial</b>					
1.1	Loss of money through fraud, theft, poor accounting systems or error	<ul style="list-style-type: none"> <li>• Documented systems in place to detect/prevent including payments authorised against invoices, scrutiny of bank statements on receipt and two councillor signatories on accounts/cheques</li> <li>• Electronic banking procedures in place, with secure passwords</li> <li>• VAT identified and reclaimed at least annually</li> <li>• Financial reports presented to each Council meeting and cross checks at Finance Committee meetings</li> <li>• Treasury Management Policy prioritises security and liquidity of funds</li> <li>• Insurance in place to cover any resulting financial losses and annual review of insurance</li> <li>• No petty cash kept</li> <li>• Experienced, trained Clerk</li> <li>• Annual review of effectiveness of auditor</li> <li>• Council scrutiny of independent internal auditor report and approval of action plan</li> <li>• Financial Regulations reviewed annually or more frequently in response to regulatory etc. change</li> <li>• Use of only recognised banks for banking and investment needs. Risks spread across .....banks (Lloyds FSCS protection</li> <li>• Periodic review of banking arrangements to secure best possible terms and conditions</li> </ul>	Low 2	Med 3	Med 6	Consider banking arrangements to ensure FSCS protection
1.2	Unexpected significant expenditure requirement	<ul style="list-style-type: none"> <li>• Parish Council has contingency reserve for such circumstances</li> <li>• Insurance in place with major insurer (Ecclesiastical) to cover major risks</li> <li>• Resort to other funding sources or Public Works Loan Board</li> <li>• Correct any deficit via budget planning over subsequent years</li> <li>• Finance Committee reviews budget requirement in advance of precept being set by the Parish Council</li> </ul>	Low 2	Med 3	Med 6	

1.3	Budget setting process inadequate	<ul style="list-style-type: none"> <li>Budget setting process begins in November to allow adequate time for proper consideration</li> <li>Quarterly budget monitoring reports provide profile of expenditure against regular budget heads</li> <li>Costs of new projects proposed are calculated before inclusion in the budget</li> <li>Government council tax referendum principles considered as part of process</li> <li>Precept notified in line with timescales set by Wyre Council</li> <li>In year unbudgeted expenditure only approved if reserves allow</li> <li>Resort to other funding sources or Public Works Loan Board</li> <li>Correct any deficit via budget planning over subsequent years</li> <li>Finance Committee reviews budget requirement in advance of precept being set by the Parish Council</li> </ul>	Low 2	High 5	10	
2	<b>Operations</b>					
2.1	Action of Parish Council having undesired negative impact on other parties	<ul style="list-style-type: none"> <li>Transparent procedures and process in place to reduce likelihood in day to day services</li> <li>Effective project management/action planning/risk management procedures in place for all defined projects</li> <li>Insurance in place to cover any resulting financial losses</li> <li>Expert/professional input sought where appropriate</li> </ul>	Med 3	Med 4	High 12	
2.2	Contractors not supplying agreed services	<ul style="list-style-type: none"> <li>All contracts are controlled by defined contracts or service level agreements</li> </ul>	3	3	9	
2.3	Damage to third party property or individuals as a consequence of the Parish Council providing services or amenities to the public	<ul style="list-style-type: none"> <li>Regular health and safety risk assessments</li> <li>Regular safety checks</li> <li>Adequate insurance</li> <li>Training</li> </ul>	Low 2	Med 3	Med 6	
2.4	Damage to third party property or individuals as a consequence of the Parish Council putting on a community/civic event	<ul style="list-style-type: none"> <li>Health and Safety risk assessments carried out for each event</li> <li>Event checklist produced covering all aspects of the event including an emergency plan</li> <li>Insurance policy in place</li> </ul>	Med 3	Med 3	9	

2.5	Damage to Parish Council amenities and equipment	<ul style="list-style-type: none"> <li>An up to date register of assets</li> <li>Physical verification of assets held on register</li> <li>Regular safety checks and inspections by experts on physical assets</li> <li>Regular maintenance arrangements for physical assets</li> <li>Regular inspection and reporting in line with agreed schedule to identify damage</li> <li>Immediate action to repair/replace and take out of use where necessary</li> <li>Insurance regularly reviewed to reflect assets</li> <li>Use of CCTV to identify vandalism/accidental damage and reporting to Police where appropriate</li> </ul>	Med 3	High 6	18	
3	<b>Legal</b>					
3.1	Illegal activity or decision making	<ul style="list-style-type: none"> <li>Standing Orders and Financial Regulations in place and reviewed at least annually</li> <li>Clerk professionally qualified and undertakes training in new legislation when introduced</li> <li>General Power of Competence in place or appropriate Power referenced</li> </ul>	Low 2	Med 4	8	
3.2	Confidential data being disclosed	<ul style="list-style-type: none"> <li>Data protection policy in place and data managed in accordance with GDPR</li> <li>Very little confidential data held</li> <li>Security measures on place and used e. g. shredding</li> <li>Any confidential aspects of reports are highlighted to Councillors</li> <li>ICT security in place including firewall and passwords for laptop and sensitive documents</li> </ul>	Low 2	Med 3	6	
3.3	Harm caused by failure to ensure adequate Health and Safety	<ul style="list-style-type: none"> <li>Risk assessments carried out</li> <li>H and S Advisory Service provided by .....</li> <li>H and S induction for all staff</li> <li>Parish Council property properly maintained</li> <li>Specific training provided as per risk assessment findings.</li> <li>Regular H and S review meetings</li> </ul>	Med 3	Med 3	9	To identify a source of H and S advice To review H and S induction for new starters
3.4	Compensation claim resulting from (alleged) negligent act or accidental omission by the Council or its employee(s).	<ul style="list-style-type: none"> <li>Proper conduct of meetings and decision making in accordance with Standing Orders and professional advice from Clerk or other expert where necessary</li> <li>Training for councillors and staff</li> <li>Insurance policy in place</li> </ul>	2	4	8	

4	<b>Business Continuity</b>					
4.1	Major incident impacting on Catterall	<ul style="list-style-type: none"> <li>Wyre Council Emergency Plan; developed for major incidents.</li> <li>Key councillors and staff will make themselves available</li> <li>Common sense used to determine appropriate action</li> <li>Actively listen for and monitor any communications</li> <li>Accept instructions from Wyre Council Emergency Planning Team</li> </ul>	Low 2	Med 4	8	Develop a resident's information leaflet.
4.2	Village Hall unserviceable	<ul style="list-style-type: none"> <li>There are no life-critical services provided</li> <li>Retrieval of Parish Council assets</li> <li>Clerk to work from home</li> <li>Medium/long term plan to return to Village Hall</li> </ul>	Low 2	Med 3	6	
4.3	Loss of key personnel	<ul style="list-style-type: none"> <li>Tasks to be shared with Pilling Parish Council where possible</li> <li>Staff training and support to minimise sickness/early departure</li> <li>Use of temporary staff/agency workers to fill gaps</li> </ul>	Low 2	Med 3	6	Use of Induction/Procedure manual plan above.
4.4	Loss of council paper records and computer files due to accident or otherwise	<ul style="list-style-type: none"> <li>Some historical records archived at Lancashire Records Office</li> <li>Computer records regularly backed up to hard drive</li> </ul>	Low 2.	Med 4	8	Review how paper and computer records are stored securely.
4.5	Damage to physical assets owned by the Parish Council – buildings, furniture, equipment,	<ul style="list-style-type: none"> <li>An up to date register of assets</li> <li>Physical verification of assets held on register</li> <li>Regular safety checks on physical assets</li> <li>Regular maintenance arrangements for physical assets</li> <li>Insurance regularly reviewed</li> <li>Reputable ICT support contractor/supplier</li> <li>Physical security including key controls</li> <li>Staff training, including fire safety</li> </ul>	Low 2	Med 3	6	Identify appropriate fire safety training for staff
5	<b>Employees</b>					
5.1	Failure to comply with employer requirements	<ul style="list-style-type: none"> <li>Ensure compliance with Employment Law through professional advice where appropriate</li> <li>Comply with HMRC requirements through external payroll provider (Towers and Gornall)</li> <li>Legal compliance with Parish Council activities ensured through advice from staff, Society of Local Council Clerks, NALC and solicitors when necessary. Advice recorded in the minutes</li> </ul>	Med 3	Med 3	9	

6	<b>Reputation</b>				
6.1	Failure to represent community interest adequately in relation to matters likely to impact significantly on the parish.	<ul style="list-style-type: none"> <li>Parish Council recognised by other agencies for consultation and information</li> <li>Membership of professional bodies - NALC/LALC and SLCC</li> <li>Parish Council Facebook page and website provide information to residents on key issues</li> <li>Special meetings called where appropriate</li> <li>Clerk and councillors monitor Wyre and LCC committee papers for impact on the village</li> <li>Parish Council has representation on a number of associated bodies such as village hall committee</li> <li>Councillors are members of the community</li> </ul>	2	2	4
6.2	Councillor behaviour falls below that expected of an elected official	<ul style="list-style-type: none"> <li>Non-party political culture encouraged</li> <li>Register of interests and gifts and hospitality</li> <li>Councillors provided with copy of Code of Conduct and training available</li> <li>Advice from Clerk and Monitoring Officer</li> </ul>	3	3	9

### Risk Assessment Matrix

Likelihood		Impact			
		Negligible (1)	Low (2)	Medium (3)	High (4)
High (4)		4	8	12	16
Medium (3)		3	6	9	12
Low (2)		2	4	6	8
Negligible (1)		1	2	3	4

Date	Version	Author	Accepted	Minute
January, 2021	Draft	G. Benson and Cllr. J. Finch	2nd February, 2021	3296
February, 2022	Review	G. Benson and Cllr. J. Finch		