

## Catterall Parish Council – Risk Register 2023/24

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</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>Clerk to attain CiLCA qualification and to receive regular access to training opportunities</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. All funds are held by Unity Trust Bank. Eligible savings with Unity Trust Bank are protected up to a total of £85,000 by the FSCS.</li> <li>Periodic review of banking arrangements to secure best possible terms and conditions</li> </ul>	Low 2	Med 3	Med 6	
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 (Gallagher) 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> </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> </ul>				

		<ul style="list-style-type: none"> <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> </ul>	Low 2	High 4	Med 8	
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	High 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>	Low 3	Low 3	Med 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	Med 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 4	High 12	
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 to attain CiLCA qualification and to receive regular access to training opportunities</li> <li>Appropriate Power referenced – the parish council will not hold General Power of Competence until the clerk is qualified.</li> </ul>	Low 2	Med 4	Med 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	Low 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	Med 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	<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>	Low 2	Med 4	Med 8	

	Council or its employee(s).					
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	High 4	Med 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	Low 6	
4.3	Loss of key personnel	<ul style="list-style-type: none"> <li>Staff training and support to minimise sickness/early departure</li> <li>Use of temporary staff/agency workers to fill gaps</li> <li>Password for the laptop is held, in a sealed envelope, by the Chair and Vice Chair</li> </ul>	Low 2	Med 3	Low 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 are all saved remotely using Microsoft SharePoint through EdgelT contract.</li> </ul>	Low 2	High 4	Med 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	Med 6	Identify appropriate fire safety training for staff
4.6	Failure to attract candidates for councillor vacancies	<ul style="list-style-type: none"> <li>Actively publicise Council activities &amp; vacancies on noticeboard, website and Facebook.</li> <li>Seek candidates amongst friends &amp; neighbours.</li> <li>Ensure that current councillors receive nomination papers and are supported to complete the forms.</li> </ul>	Med 3	Med 3	Med 9	

		<ul style="list-style-type: none"> <li>Provide accurate information in a timely manner to any new candidates and support them to complete the forms.</li> </ul>				
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	Med 9	
5.2	Working from home	<ul style="list-style-type: none"> <li>The clerk mostly works from home, but any meetings are held in the Parish Office.</li> <li>Minimum number of documents stored at home.</li> <li>External doors are kept locked.</li> <li>A mobile phone is carried and will be used in case of accident or emergency.</li> </ul>	Neg 1	Med 3	Med 3	
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>	Low 2	Low 2	Med 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>	Med 3	Med 3	Med 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	v1.0 Creation	G. Benson and Cllr. J. Finch	2nd February, 2021	3296
April, 2022	v1.1 Review	G. Benson	May 2022	
March 2023	v1.2 Review	E. Millington	7 <sup>th</sup> March 2023	3735