

DUNSTALL PARISH COUNCIL

Risk Register

Very likely	Acceptable Risk (medium – 2)	Unacceptable Risk (high – 3)	Unacceptable Risk (extreme – 5)
Likely	Acceptable Risk (low – 1)	Acceptable Risk (medium – 2)	Unacceptable Risk (high – 3)
Unlikely	Acceptable Risk (low – 1)	Acceptable Risk (low – 1)	Acceptable Risk (medium – 2)
Occurrence / Impact	Low	Moderate	High

1 Organisation

Ref	Risk	Probability	Impact	Policy	Responsible Person
1.1	Loss of Parish Clerk	Medium	High	Maintain continuity via SPCA details of Locum Clerk Service Current Clerk to ensure all records are up to date and passwords are secure and a copy taken. Explore of Scribe or other accounts software, Unity and external payroll to minimise disruption.	Clerk Council
1.2	Loss of RFO	Medium	High	The RFO is also the Parish Clerk. Ensure that Internal Audit occurs x 2 per year. Maintain continuity via SPCA details of Locum Clerk Service. Explore of Scribe or other accounts software, Unity and external payroll to minimise disruption.	Clerk Council
1.3	Loss of IT Data	High	High	Emails are accessed through the website providers. Files are secured on the laptop and backed up on the cloud.	Clerk Council
1.4	Loss of Councillor	Medium	Low	Guide to filling casual vacancy obtainable from SPCA. Notify ESBC on vacancy and advertise when able.	Clerk

2 Finance and Management

Ref	Risk	Probability	Impact	Policy	Responsible Person
2.1	Loss of Council Assets	Low	Low	Secure storage for assets not in use. Ensure full record of items is kept up to date. Write of old items no longer required. Internal Auditor to review Asset Register and insurance.	Clerk Internal Auditor
2.2	Theft / Fraud	Low	High	Regular scrutiny by councillors of financial records. Proper recording in minutes of all approved spend. Regular budget monitoring reports. Review of letter of appointment of Internal Auditor to include areas of risk eg VAT, PAYE, cheque signing. Two signatories required for BACS transactions. Separation of roles in Unity	Clerk, Councillors, Internal Auditor
2.3	Non compliance with Standing Orders / Financial Regulations	Low	Low	Annual scrutiny of Standing Orders and Financial Regulations by councillors.	Councillors Clerk
2.4	Loss of Income	Low	Low	Regular budget monitoring by councillors. Full budget appraisal to be undertaken prior to Precept request submission.	Clerk Councillors
2.5	Propriety – Cllr Abuse of position	Low	Low	Maintain Register of Interest for councillors. Gifts and Hospitality to be declared. Code of Conduct to be agreed by Full Council. Training Policy in place and training encouraged.	Councillors Clerk
2.6	Cash Security	Low	Low	No cash to be held.	Clerk

2.7	Inadequate insurance	Low	Medium	Assess risk to Assets and liabilities. Use established UK based insurance company. Ensure Employers Liability in place for +£10m.	Clerk Internal Auditors
2.8	Budget set too High / Low	Low	Low	Use historic data to work out an agreed forecast programme. Work to realistic estimated or accurate quotes.	Clerk Councillors
2.9	Problems with Contracts	Low	Low	Ensure full tender documentation in place to get quotes. Agree price and costs before letting any contract. Cllrs to consider unforeseen work. Ensure contractors are fully insured and get copy of their risk assessment and method work prior to starting the work along with their public and employers liability insurances prior to engagement. Keep up to date records of all contracts held by the parish council in accordance with the Contractors Policy.	Clerk Councillors
2.10	Salaries and Associated Costs	Low	Low	Clerk uses external provider to undertake payroll – this calculates tax, NI etc. Ensure all NALC updates are regularly monitored and implemented.	Clerk
2.11	Annual Return	Low	High	Ensure that all sections of AGAR are completed with the Internal Auditor. Ensure all notices are posted on website and notice boards.	Clerk

3 Democratic

Ref	Risk	Probability	Impact	Policy	Responsible Person
3.1	Defamation	Low	High	Libel and Slander Insurance of £250,000. Councillors to periodically undergo Code of Conduct training.	Councillors Clerk
3.2	Compliance with Code of Conduct	Low	High	Completion of signed acceptance of office forms. Annual review of Councillors Interests.	Councillors Clerk
3.3	Inaccurate Minutes	Low	Low	Drafts to be passed to councillors before placing on website. Minutes to be approved at next meeting.	Councillors Clerk
3.4	Loss of Minutes	Low	Medium	Electronic back up on to the computer and signed hard copies kept in file with the Clerk and County Archive.	Clerk
3.5	Loss of paperwork in Clerks home	Low	Medium	Review records held– need to send to archive if they are for public record.	Clerk Councillors
3.6	Deficient Standing Orders	Low	Low	Standing Orders to be reviewed once per year by Full Council.	Councillors Clerk
3.7	Unacceptable behaviour by members of public towards councillors/staff.	Medium	High	Public conduct rules can be distributed at each meeting. Vexations complaints policy can be introduced. Training can be sought Refer to Standing Orders on how to manage disruption. Records of incidents kept is required. Police contacted if required.	Clerk & Chairman