CHERITON FITZPAINE PARISH COUNCIL

RISK Management and Register - Approved 13/7/2022 & Reviewed Annually

A. Finance and Public Liability

NO.	Risk	TRIGGER	CONSEQUENCE	LIKELIHOOD	IMPACT	MANAGEMENT/MITIGATION	Status
A1	Fraud or other Financial Irregularity	Dishonesty. Error or inadequate control systems	Financial loss and reputational damage; possible censure by Mid Devon District Council	L ↔	M ↔	Effective and up to date financial control systems and checks on compliance, regular internal audit Electronic receipts for cash book	In place. Financial Regulations approved by Council and reviewed annually
A2	Budget overrun	Unplanned liabilities; inadequate control	Deficit budget; bankruptcy; critical audit report	M ↔	H ↔	Effective and up to date financial control systems; effective budget setting; bi-monthly financial reports to council; maintenance of appropriate expenditure reserve	In place.
A3	Value for money: Failure to comply with good contract letting practice; delays in paying invoices	Failure to comply with good contract letting practice; delays in paying invoices	Poor value for public money; unnecessary costs to Council; possible censure by parishioners; critical audit report	L ↔	M ↔	Effective and up to date financial control systems; clear expenditure mandates and responsibilities including urgent payments; competitive tendering for major contracts, contract review process	In place. Internet banking allows payments to be made quicker.
A4	Grass cutting: failures of contract	Bankruptcy or inadequacy of contractor	Reduced amenity for users or open space; visual deterioration	M ↔	L ↔	Effective contract letting systems; checks on viability and effectiveness of contractors before letting; performance checks and right to terminate contract for non-compliance; re-tendering process.	In place.

A5	Injury or Death: of users of Council owned assets and, facilities or equipment; of participants in Council arranged or authorised activities	Accident; inadequate safety arrangements or negligence	Death/injuries sustained by individuals and pain and suffering for them and families; financial liabilities for council; reputational damage to council and parish; health and safety prosecution	L ↔	H ↔	Proper maintenance of land, trees, facilities and equipment; public notices on authorised and safe use of land, equipment and facilities, and warning of hazards; regular visual inspection by councillors; means for parishioners to report unsafe activities or equipment to councillors; control/limiting of public access where necessary; contractual requirement of safety measures and public liability insurance for authorised third party activities; council public liability insurance; Asset Maintenance Plan; Annual Condition Survey.	In place.
A6	Other Legal Liability	Unexpected claim from third party; contractual dispute	Potential financial loss; damage to council's reputation	L ↔	M ↔	Following adopted financial regulations and council procedures; public liability insurance; seeking professional advice as necessary	In place

B: Physical and Electronic Assets							
NO.	Risk	TRIGGER	CONSEQUENCE	LIKELIHOOD	IMPACT	MANAGEMENT/MITIGATION	Status
B1	Physical Assets: Defibrillators and Cabinets, Council Notice Board, Benches, bus shelter: damage through neglect or vandalism.	Inadequate maintenance or unidentified damage	Loss of means of communication with parishioners; loss of safety information, information on appropriate use of facilities; loss of amenity, visual deterioration, defibrillator not operational.	L ↔	H ↔	Annual Condition Survey. Asset Register & Asset Maintenance Plan. Assets & Amenities Working Group.	In place. Defibrillators and cabinets added to Asset Register, Maintenance Plan and Annual Condition Survey. Defibrillators registered with The Circuit and 2 guardians nominated.
B2	Electronic Assets: loss of records of council finances, meetings, activities, reports, correspondence and other documents; corruption of records. Fault with equipment used.	Failure, theft or loss of clerk's computer, other IT equipment. Failure of equipment used.	Significant damage to effectiveness of council and clerk; financial loss to council; consequential loss of accountability to parishioners; potential unauthorised access to confidential material; loss of historical records.	M ↔	H ↔	Keeping computer and related equipment safe and locked up when not in use with password protection; using anti-virus software; maintenance and updating of equipment; taking regular backups of all electronic data and keeping these in a separate, secure location (external hard drive and at MDDC); historic papers stored at MDDC; paper copies held.	In place. Laptop purchased for use by the Clerk for Parish Council business, documents backed up to Google Drive.
B3	Assets register; ineffective management of assets	Unable to identify assets.	Ineffective management of assets.	L ↔	M ↔	Provision of an Asset Register & Asset Maintenance Plan. Assets & Amenities Working Group.	In place.

C: Business Delivery/Continuity							
NO.	Risk	TRIGGER	CONSEQUENCE	LIKELIHOOD	IMPACT	MANAGEMENT/MITIGATION	Status
C1	Chair, Vice-Chair and/or Majority of Councillors: incapacity, resignation or ineffectiveness of one, both or many	Ill health, family or work demands, relocation, disinclination	Loss of authority, expertise, knowledge of council's history and ways of working; loss of quorum	M ↔	H ↔	Ensure all councillor vacancies and both chair and vice-chair posts filled; elect replacements if necessary to officer posts; co-opt replacement councillors if necessary; trigger by-election if required	All positions filled uncontested at May 2023 elections.
C2	Clerk/Proper Officer/RFO: incapacity, resignation	Ill health, family or work demands, relocation, disinclination	Inability of council to undertake its normal business; difficulty accessing bank accounts	M ↔	M ↔	Ensure chair, vice-chair and other councillors have signing powers as back-up to those of clerk; ensure clerk serves notice before leaving council's employment; seek help if necessary from clerks to neighbouring parishes; recruit replacement clerk if necessary; pay in line with national payscales	In place.
C3	Bank Account: Freezing of accounts or inaccessibility of financial assets	Clerk or other signatories unavailable; court action following alleged fraud	Inability of council to meet its financial obligations	M ↔	H ↔	Sufficient financial signatories to ensure resilience. Online banking.	In place.

D: Employer

NO.	Risk	TRIGGER	CONSEQUENCE	LIKELIHOOD	IMPACT	MANAGEMENT/MITIGATION	Status
D1	Employer Responsibilities: failure to comply with employment law and good practice with respect to clerk	Ignorance of legal requirements; excessive informality in employer/employee interaction	Employee stress, dissatisfaction and potential resignation. Possible damages claim from employees.	L ↔	H ↔	Ensure clerk managed effectively by chair with support of Vice chair. Adopt best practice from 'Being a Good Employer'. Appraisal system. Employment contract and job description.	In place.
D2	Officer/RFO's Duties: clerk unclear of duties and unable to work efficiently	Lax management by employer; all councillors seeking to instruct clerk and giving contradictory instructions	Clerk unhappy, unclear of duties and unable to work effectively	L ↔	M ↔	Ensure clerk managed and instructed by chair only, or vice-chair in chair's absence. Clear job description. Chair and Clerk to attend relevant training courses, with annual refreshers as necessary.	In place.
D3	Clerk's Salary: not paid, paid late or incorrect amount; TAX/NI payments wrong, late or incorrectly attributed	Inadequate procedures; slow to update changes in salary	Under/over/late payment of clerk creating financial difficulties or necessitating repayment; incorrect or late payment or recording of Tax/NI. Potential claim by HMRC.	M ↔	H ↔	Processes for approval and payment of clerk's salary and NI/TAX. Clerk responsible for payroll and PAYE. Regular financial checks as set out in financial regulations; regular audit of payments and accounts.	In place. Clerk's standard hours increased from 137 to 138 per annum to simplify the payroll process. Both Clerk & Chair have HMRC logins and BASIC PAYE system software.
D4	Health and Safety: failure to meet employer health and safety obligations to clerk	Unacceptable working conditions or hours	Potential damage to health or well-being of clerk	L ↔	H ↔	Clerk works part time and flexible hours, primarily from home with high degree of autonomy in working times and conditions; chair to check during regular feedback sessions that conditions and equipment meet reasonable working needs of clerk and statutory requirements	In place.

E: Propriety and Reputation							
NO.	Risk	TRIGGER	CONSEQUENCE	LIKELIHOOD	IMPACT	MANAGEMENT/MITIGATION	Status
E1	Councillor Conflict of Interest: real or apparent; breach of code of conduct	Perception that undeclared interests of councillor have been advanced by decision of council	Damage to reputation of councillor and council; breach of code of conduct for local council members; potential censuring of member or council	L ↔	L ↔	Register of member interests maintained and updated as necessary for all councillors; declaration of interest required at start of each council meeting where members have or appear to have an interest in an agenda item. Standing Orders and Code of Conduct.	In place.
E2	Councillors Benefit Financially: real or apparent benefit from membership of Council	Payments to councillors by Council	Potential perception that councillors serve for financial reward rather than in the interests of parishioners	L ↔	L ↔	Financial Regulations. Expenses Policy.	In place.
E3	Party Political Interests: Councillors seen to pursue party political interests at expense of parishioners	Perception that decisions are made and interests pursued to advance political parties rather than interests of parishioners	Loss of confidence in the independence and integrity of councillors	L ↔	L ↔	No Councillors sought election or co-option on the basis of any party political affiliation; all councillors participate in meetings on a personal basis; Code of Conduct.	In place.
E4	Neglect of Duties: Councillors seen to neglect duties and interests of parishioners	Failure to attend council meetings; failure to address issues of concern and significance in parish; failure to take account of parishioners' views	Loss of faith in commitment and integrity of councillors and of the council as a whole	L ↔	L ↔	Code of Conduct & Standing Orders Democratic Period at start of all Council meetings for public questions. Use Newsletter and social media to elicit views and concerns from residents.	In place. Council meetings well attended by councillors and frequently by parishioners interested in particular agenda items. Residents engaged in the budget planning process.