

## Risk Log - Kirkby La Thorpe Parish Council

Last Review: 15 January 2022

Next Review: 01 February 2023

Approval Minute: \_\_\_\_\_

Approval Name / Signature (1): \_\_\_\_\_

Assessed By: \_\_\_\_\_

Approval Name / Signature (2): \_\_\_\_\_

This document has been produced to enable the Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them.

### Approach

The Council is aware that, although some risks can never be eliminated fully, it needs to have in place a strategy that provides a structured, systematic and focused approach to managing risk, which:

- Identifies the key risks facing the council
- Identifies the likelihood of the risk occurring
- Assesses the impact if the risk did occur
- Evaluates, and implements, the most appropriate method of addressing the risk
- Reviews, reports and revises procedures if required

### Timing

The Parish Council completes a risk assessment on an annual basis each year as a minimum or more frequently should circumstances dictate. The risk assessment is completed by the Clerk and a Councillor and presented to full Council where it is signed by 2 Members of the Council.

### Likelihood / Impact / Severity

Both the Likelihood of the risk occurring and the expected Impact are marked on a scale of 1 (minimum) to 5 (maximum) - from which is calculated an overall Severity figure and colour category (Red / Amber / Green).

### Actions

The Council will take a measured approach to the risks identified and will decide on actions from prevention through reduction to acceptance, or in certain cases to pass the risk on to others (such as Insurance).

Risk ID	Work Stream	Risk Category	Risk Description	Likelihood	Impact	Severity	Mitigating Action Plan
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1	Regulation	Reputation	Council not being able to continue its business due to an unexpected or tragic circumstance including quarantine or self-isolation due to infectious disease.	2	4	8	a) provide Clerk with delegated authority to carry out critical services. b) provide online communication channels. c) provide processes for allowing councillor guidance and authorities. d) arrange for locum clerk where necessary.
2	Staffing	Legal	Inadequacy of Health and Safety measures in place.	3	5	15	Review health and safety exposure for a) staff b) volunteers c) members
3	Assets	Cost	Loss through theft, fire, damage or unforeseen event.	2	3	6	a) ensure appropriate protection and risk reduction. b) ensure relevant Insurance cover is in place.
4	Assets	Cost	Inadequate protection of physical assets.	1	2	2	a) ensure adequate instructions and precautions are communicated where relevant. b) ensure correct maintenance regime in place. c) ensure adequate Insurance cover.
5	Finance	Reputation	Bank account not reconciled with working cashbook.	1	3	3	Ensure a quarterly process in place for councillor check of reconciliation and subsequent presentation to Council.
6	Finance	Regulatory	Insufficient signatories to authorise payments.	2	3	6	Ensure payment controls at the bank can be complimented by local processes.
7	Finance	Regulatory	Inadequate financial controls and records.	2	3	6	Ensure proper controls in place aligned with standard accounting practices for parish councils.
8	Finance	Legal	Loss through theft or dishonesty.	1	4	4	a) proper security where possible and sensible. b) Council require appropriate Insurance cover.

9	Regulation	Legal	Non-compliance with HMRC regulations.	3	5	15	a) ensure that PAYE is paid promptly through RTI or payroll system/service. b) reclaim VAT in reasonable timescales.
10	Policy	Reputation	No budget to support precept.	1	3	3	Ensure budget process is commenced in reasonable time to set the precept in January.
11	Finance	Regulatory	Non-compliance with borrowing restrictions.	1	1	1	Ensure appropriate review of this risk when borrowing is actioned.
12	Liability	Legal	Non-compliance with employment law.	4	5	20	a) staffing committee to meet regularly. b) members of the staffing committee to be adequately trained. c) staffing committee to ensure relevant policy, contractual documentation, and process is in place for all staff.
13	Regulation	Legal	No legal power for council activities.	3	4	12	Clerk to continually review discussion and decision process, and advise on regulatory powers and duties.
14	Process	Service	Untimely reporting of minutes.	2	2	4	Clerk to ensure meeting notes are completed and circulated within two weeks (at the latest) of the end of the meeting.
15	Process	Reputation	Improper document control.	4	2	8	a) the Clerk to maintain adequate physical documentation files. b) the Clerk to ensure a sensible hierarchical storage of electronic records. c) the Council to use Cloud storage for electronic data to allow security protocols to be followed (relevant licenses should be supplied and maintained by the Council).

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16	Finance	Legal	Potential fraud or other impropriety by members, staff or volunteers	2	4	8	Registers of Interests, Gifts and Hospitality in place
17	Assets	Legal	Damage caused by volunteer use of Council asset, such as lawn mower, strimmer, etc.	1	1	1	a) ensure volunteers appropriately trained in use of equipment and expected scope of their work. b) back off risk to Insurance company.
18	Assets	Legal	Gates, seating, fencing, noticeboards, and other key assets causing injury to public.	2	4	8	a) ensure assets are kept in good order and checked regularly. b) back off risk to Insurance company.
19	Assets	Legal	Damage caused to assets by public and vehicles. Includes waste bins, grit bins, fencing, noticeboards, seating and other larger structures in the ownership of the Council.	2	3	6	a) check regularly for damage. b) back off risk to Insurance company.
20	Assets	Service	Accidental damage to office equipment including laptop, screen, projector, printer, and other peripheral equipment.	2	5	10	a) ensure awareness as to proper use. b) proper and regular electrical testing (PAT). c) provision of repair or replacement funds and/or back off to Insurance company.
21	Staffing	Service	Failure to attract sufficient council membership.	3	2	6	a) ensure active publishing of council activities and vacancies available. (noticeboard, website, social media, local media) b) seek candidates through local community contact.

22	Staffing	Regulatory	Failure to achieve quorum at meetings.	2	4	8	<ul style="list-style-type: none"> <li>a) ensure annual list of meetings is created and publicised to members.</li> <li>b) issue meeting agendas, minutes and supporting documentation in good time.</li> <li>c) follow up members absence where apology not received.</li> </ul>
23	Process	Reputation	Lack of public consultation.	2	4	8	<ul style="list-style-type: none"> <li>a) publish regular newsletters.</li> <li>b) carry out questionnaires, social media studies and other methods of testing public reaction.</li> <li>c) ensure public participation at all main meetings.</li> <li>d) provide timely response to public queries wherever possible.</li> <li>e) publish agendas and minutes on the website.</li> <li>f) supply adequate seating and facilities for public attending a meeting.</li> </ul>
24	Regulation	Reputation	Members acting alone outside of meetings.	3	4	12	<ul style="list-style-type: none"> <li>a) provide adequate training for all members.</li> <li>b) provide access to Good Councillors Guide.</li> <li>c) members to avoid making commitments outside of meetings.</li> </ul>
25	Regulation	Regulatory	Inadequate document control.	1	4	4	<ul style="list-style-type: none"> <li>a) ensure Clerk is adequately trained.</li> <li>b) ensure appropriate IT systems provided for use by the Clerk.</li> <li>c) ensure timely provision of minutes, agendas, supporting documentation, proposals, regulatory documents, and other reports.</li> </ul>

26	Process	Legal	Failure to recognise and address conflict of interest.	1	4	4	Members to be continually aware of their DPIs in respect of relevant Council business under discussion and to declare appropriately.
27	Regulation	Legal	Incomplete/inaccurate register of Members' interests.	2	4	8	Members to review their declared interests register at least annually and when originally taking post.
28	Process	Regulatory	Failure to complete/submit Annual Return on time.	1	5	5	Clerk to maintain diary.
29	Finance	Regulatory	Improper contracting procedures.	1	4	4	a) Clerk to ensure appropriate financial process is complied with. b) internal audit to check.
30	Staffing	Service	Loss of services of Parish Clerk.	1	3	3	Internal... a) Councillors trained to undertake a wide range of financial and administrative tasks. b) Instruction Booklet available for Councillors  External... c) Locum Parish Clerks provided by SLC or LALC able to assist in an emergency
31	Service	Reputation	Lack of Council direction and strategy.	1	3	3	a) ensure the vision for the Council is updated on an annual basis and feeds the budget process.

32	Finance	Legal	Improper financial processes leading to significant financial risk and reputational damage	1	4	4	<p>a) ensure adequate diary of financial events is kept.</p> <p>b) ensure competent internal audit is carried out for both financial prudence and process.</p> <p>c) ensure regulatory external audit process is carried out.</p> <p>d) ensure publishing of appropriate financial documentation on the website and the noticeboard is completed in a timely and appropriate manner.</p>
33	Process	Reputation	Allegations of libel or slander.	2	4	8	<p>a) Clerk to intervene at meetings.</p> <p>b) review all press releases or newsletter articles before release.</p> <p>c) adequate Insurance Cover.</p>
34	Finance	Cost	Inadequate insurance.	1	5	5	Council to review annually or if circumstances change.
35	Finance	Reputation	Failure to calculate/submit precept on time.	1	5	5	<p>a) Clerk to respond to NKDC notices with copy to Chairman.</p> <p>b) agenda item for Members to consider budget setting.</p>
36	Finance	Cost	Failure to account for and recover VAT.	1	3	3	<p>a) Clerk to ensure VAT is properly noted.</p> <p>b) Clerk to ensure relevant VAT is reclaimed at least annually.</p>
37	Finance	Regulatory	Failure to stay within agreed budgets.	3	2	6	<p>a) Clerk to ensure that accounts are presented to each main meeting.</p> <p>b) Clerk to highlight and gain approval where virement is required.</p>

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38	Finance	Regulatory	Holding excessive or inadequate reserves.	2	4	8	a) Clerk to ensure that accounts are presented to each main meeting. b) Clerk to highlight and gain approval where virement is required for reserves. c) Clerk to advise where spend (or lack of) is likely to adversely affect reserves.
39	Regulation	Legal	Inadequate awareness of relevant legislation.	2	4	8	a) maintain membership of LALC/NALC. b) Clerk to train/qualify.
40	Finance	Regulatory	Failure to maintain fixed assets register.	1	2	2	a) Council to review annually. b) internal audit to review.
41	Regulation	Legal	Non-compliance with data protection.	3	5	15	a) appropriate policy to be in place. b) Clerk to monitor and ensure actions carried out where required.
42						0	
43						0	
44						0	
45						0	