

Risk No.	Risk Title	Business Area	Risk Description	Risk Context	Risk Consequences	Risk Level	Risk Probability	Author	Risk Date	Mitigation Approach
			As a result of....	There is a risk that....	... which may result in...					
1	Sufficient number of Coucillors	Parish Council	not having a full complement of councillors	the Council may not be able to have quorate meetings	cancellation of a scheduled meeting, which in turn may breach the requirement to have x meetings per year	Minor	50%	FS	22 July 2021	Optimise
2	Council Meeting attendance	Meetings	Councillors not informing the Clerk that they are unable to attend athe next PC meeting	the Council may not be able to have quorate meetings	cancellation of a scheduled meeting, which in turn may breach the requirement to have x meetings per year	Minor	70%	FS	21 July 2021	Optimise
3	Submission of Precept requirements	Precept	not submitting Precept requirements to PBC in time	adequate Precept funding will not be received	The PC not being able to undertake work necessary during the financial year	High	2%	FS	26 July 2021	Optimise
4	Receipt of Precept funds	Precept	delays in the process of Precept funding	precept funding is not received by the PC when due	The PC not being able to undertake work necessary during the financial year	High	2%	FS	26 July 2021	Optimise
5	Inadequate Financial records	Finance	the PC not maintaining adequate Financial records	the PC may be in breach of Financial Regulations	action being taken against the PC and its councillors	High	2%	FS	26 July 2021	Optimise
6	Banking Errors	Finance	the PCs expection of the balance and transactions not matching what the bank state	that the planned trasactions are not what have been enacted	the PC having an incorrect balance	Moderate	10%	FS	26 July 2021	Optimise
7	Bank Signatories	Finance	Councillors leaving the Council	the Council may not have sufficient signatories to manage the bank account	the PC not being able to access the bank account	Moderate	20%	FS	26 July 2021	Optimise
8	Fraud	Finance	Councillors accessing PC funds dishonestly	the Council is considered to be in breach of its obligations	the removal of Councillor from the PC and possible inadequate funding	Moderate	2%	FS	26 July 2021	Optimise
9	Litigation	Legal	a claim being made against the PC	the PC may be found to be at fault	significant financial liabilities	High	5%	FS	26 July 2021	Transfer
10	Spend Accountability	Legal	insufficient competitive quotes are sought or received	an inappropriate provider may be chosen	not getting value for money for the work commissioned and the commission being open to cryiticism	Moderate	20%	FS	26 July 2021	Optimise
11	Loss of Parish Clerk	Parish Council	the PC not having a Parish Clerk	the activities to run the PC appropriately can not be undertaken by the Councillors	some of the PC activities not being addressed properly	Moderate	20%	FS	11 August 2023	Optimise
12	Adequacy of Minutes and Actions	Data	not fully representing the actions and decisions taken in meetings	items agreed will be forgotten	not all agreed actions beingundertaken and/or auditable	Minor	60%	FS	26 July 2021	Accept
13	Document retention	Data	the information created by the PC such as minutes being held on computer	in the event of a computer crash that the information will be lost	the PC not being able to refer to previous agreements and actions	Moderate	20%	FS	26 July 2021	Optimise
14	Freedom of Information	Data	a FOI request being made	information is not stored in a manner in which it is easy to access the information	an onerous task to meet the request	Minor	20%	FS	26 July 2021	Accept
15	Interest Declaration Form	Legal	a Councillor not declaring all their interests	the PC may make a decision which they might not have made if they had the knowledge of the interest	the Councillor who's interest has not been declared receiving an inappropriate benefit	Moderate	10%	FS	26 July 2021	Accept
16	Meeting Interest Declaration	Legal	a Councillor not declaring an interest about a matter due to be discussed at the meeting	any decision made about the agenda item may be unduly influenced by the councillor	the Councillor who's interest has not been declared receiving an inappropriate benefit	Moderate	10%	FS	26 July 2021	Accept
17	Public Liability Insurance	Finance	Public Liability Insurance not being covered by PBC	if an accident occurs, the Council will be liable	the Council not having the funds to cover any payment necessary	High	2%	FS	09 August 2021	Accept
18	Payroll Fraud	Finance	the staff that need to be paid being part of the payment process	the payment process could be open to fraudulent activity	incorrect payments being made	Moderate	5%	FS	09 August 2021	Optimise
19	Payroll Timely payment	Finance	slow communication with the Payroll Administrator and the Councillor checking Payroll payments	approval of payroll payments is not made in time for the running of the payroll	payment not being made in the appropriate payroll period	Minor	10%	FS	09 August 2021	Optimise
20	Untimely Audits	Legal	not conducting audits in time	the audited accounts will not be accepted	the Council being in breach of its obligations	High	10%	FS	09 August 2021	Optimise
21	Asset insurance	Finance	the level of insurance for the PCs assets not being set high enough	the cost of replacement for assets which are the subject of an insurance claim is not met	the PC having to utilise funds to purchase replacement assets	Moderate	10%	FS	09 August 2021	Optimise

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			As a result of....	There is a risk that....	... which may result in...					
22	Councillor Minimum Attendance	Parish Council	a councillor (or councillors) not attending council meetings	they may not attend a single meeting within a single 6 month period	the Councillor having to step down from the Council	Moderate	10%	FS	30 May 2022	Optimise
23	CCTV Trained Personnel	Parish Council	a limited number of councillors being trained in using the CCTV	the council may not be able to review CCTV footage	criminal activity not being detected	Moderate	10%	FS	02 March 2023	Optimise
24	Timely review of CCTV	Parish Council	trained councillors not being available to review CCTV footage	the council may not be able to review CCTV footage	criminal activity not being detected	Moderate	10%	FS	02 March 2023	Avoid
25	Pandemic	Meetings	another Pandemic taking place	the council may not be able to meet in person	the council not ening able to manage business	Moderate	10%	FS	11 August 2023	Optimise

Risk No.	Risk Title	Proposed Resolution	Progress Description	Status	Financial Risk	Provision
1	Sufficient number of Coucillors	Whenever there are council vacancies ensure that the residents are aware of the vacancy and the associated obligations and encourage them to volunteer to be co-opted	To be reviewed quarterly. Set Status to Amber with 5 and Red with 4 or less		N	
2	Council Meeting attendance	Make sure that Councillors notify the Clerk of their ability or otherwise to attend the next council meeting upon receipt of the summons to the next meeting or at least 2 days before the meeting. Consider adding to the code of conduct			N	
3	Submission of Precept requirements	Review the budget on at least a quarterly basis. Ensure that the Council has sufficient funds to cover any delay in the receipt of funding. Ensure that the schedule for funding applications are known to the councillors			N	
4	Receipt of Precept funds	Ensure that the Council has sufficient funds to cover any delay in the receipt of funding. Ensure that the Clerk progresses the receipt of funding according to PBC timetables			Y	None (assumed temporary and covered by bank balance)
5	Inadequate Financial records	Ensure all Councillors are familiar with the Financial Regualtions. Review the Regulations at least annually. Check the transactions and documentation quarterly			Y	Would be Personal responsibility
6	Banking Errors	Reconcile the bank statements as and when they arrive (at least monthly) and immediately discuss any anomalies with the Bank	Review when required as part of the Clerks monthly feedback		Y	Impossible to make provision for
7	Bank Signatories	When it is know that a Councillor intends to leave the PC or immediately before an Election, ensure that an adequate number of Coucillors are signatories, and immediately folloeing the election reassess the signatories	Ensure that there are always at least 3 people who are eligible to sign cheques		N	
8	Fraud	Follow the PCs financial regulations. Ensure all Cash/Cheques are banked within 3 working days. Do not keep petty cash/float. Ensure audits are carried out			Y	Impossible to make provision for
9	Litigation	Public Liability Insurance should cover personal injury claims	Check that Public Liability Insurance is provided		Y	Assumed covered by Insurance
10	Spend Accountability	Ensure that quotes are sought for substantial work or goods. Formal tender will be applied for major works	There is an action out to determine the value above which competitive quotes should be sought		Y	Impossible to make provision for
11	Loss of Parish Clerk	Advertise the vacancy. Ensure that the salary is consistent with market rates	The Parish Clerk position was filled		N	
12	Adequacy of Minutes and Actions	The minutes of each meeting are reviewed and agreed at the subsequent meeting, It is incumbent on those councillors who attended a meeting to review the minutes prior to the next meeting and raise any concerns, preferably in advance of the council meeting in order to reduce the amount of time spent in the meetings in reviewing the previous minutes.			N	
13	Document retention	Ensure that appropriate backups of data are made, and it is understood how long data is required to be kept for	Check Data Backup		N	
14	Freedom of Information	There is a dependency on information being available to undertake this task			N	
15	Interest Declaration Form	The onus is on the Councillor to declare all interests			?	Would be Personal responsibility
16	Meeting Interest Declaration	The onus is on the Councillor to declare all interests			?	Would be Personal responsibility
17	Public Liability Insurance	The Clerk to check that the Council is covered			Y	Assumed covered by Insurance
18	Payroll Fraud	Ensure that any Payroll payments to be made are checked by a Councillor that is not a beneficiary of the Payroll prior to it being handled by the Payroll Administrator			Y	Would be Personal responsibility
19	Payroll Timely payment	Ensure that the Councillor responsible for checking Payroll knows the cutoff date for Payroll payments, and that there is a backup process should they not be available			Y	None (Should this become an issue - The PC would have to address urgently from the Bank account)
20	Untimely Audits	Ensure that the timetable is understood and that sufficient time contingency is allowed for in the creation and checking of the audit			Y	Impossible to make provision for
21	Asset insurance	Review the level of asset insurance cover when assets of significant cost have been purchased, and in any case on an annual basis			Y	Impossible to make provision for

Risk No.	Risk Title	Proposed Resolution	Progress Description	Status	Financial Risk	Provision
22	Councillor Minimum Attendance	Ensure that any Councillor not attending meetings is made aware of their obligation and encourage Councillors who wish to remain on the Council, but who for unforeseen reasons have been unable to attend, to write to the Clerk requesting an extension to the six month period			N	
23	CCTV Trained Personnel	Arrange for training so that at least 3 councillors know how to look at information. Ensure that there is a written procedure for each of the sets of cameras, and how to get access to them. In emergency suggest that we call out the installer Chris at StreetCam			N	
24	Timely review of CCTV	Ensure that sufficient Councillors are trained in looking at the footage, and include how to get in contact with them in the procedure for each camera.			N	
25	Pandemic	Rearrange meetings to take place via social media such as Zoom			N	

Dependency No.	Dependency Title	Delivery Area	Description	Impact if not met	Comments	Status
1	Information Availability	data	In order to fulfil PC legal requirements and FOI, data needs to be held for X years	The PC will not be able to fulfil these obligations		

Delivery Area
Parish Council
Meetings
Precept
Finance
Legal
Data

Author
List of Authors