WERRINGTON PARISH COUNCIL
RISK REGISTER AND MANAGEMENT STRATEGY

Key:
L = low M= medium H = high

A. Finance and Management

NO.	RISK	TRIGGER	CONSEQUENCE	LIKELI-HOOD	IMPACT	MANAGEMENT/MITIGATION
A1	**Fraud or Other Financial Irregularity**	Dishonesty; error or inadequate control systems	Financial loss and reputational damage	L	H	Effective and up to date financial control systems and checks on compliance; annual internal and external audit
A2	**Budget Overrun**	Unplanned liabilities; inadequate control systems; failure to set precept	Deficit budget; bankruptcy; critical audit report	L	H	Effective and up to date financial control systems; effective budget setting; monthly financial reports to council; maintenance of appropriate expenditure reserve
A3	**Value for Money**: failure to achieve best value	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 for urgent payments; competitive tendering for major contracts
A4	**Failure of Contract:**	Bankruptcy or inadequacy of contractor	Reduced amenity for users of open space;	M	L	Effective contract letting systems; checks on viability and effectiveness of contractors before letting; performance checks and right

	Grounds maintenance; Village Wardens; waste collection		visual deterioration; financial cost to Council			to terminate contract for non-compliance. Regular reviews of contract. Two self-employed Village Wardens to enable cover if one is absent.
A5	**Injury or Death**: of users of Council owned land, facilities or equipment; of participants in Council arranged or authorised activities	Accident; abuse of play equipment; falling trees; 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	M	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 inspections; means for parishioners to report unsafe activities or equipment to council; annual professional inspection of play equipment; regular professional inspection of trees; 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
A6	**Data Protection and Freedom of Information**: failure to meet requirements	Failure to meet the requirements under GDPR or Freedom of Information Act	Council reported to the Information Commissioners Office; damage to council reputation by non-transparency	L	M	Ensure policies and procedures are in place to meet GDPR and FOI requirements; all FOI requests to be reported to council and actioned; model publication scheme and privacy notice to be displayed on council website

A7	**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

B. Physical and Electronic Assets

NO.	RISK	TRIGGER	CONSEQUENCE	LIKELI-HOOD	IMPACT	MANAGEMENT/ MITIGATION
B1	**Meigh Road Playing Fields, Werrington Sports Ground:** unlawful occupation; unauthorised use; damage by vehicles or authorised users	Inadequate supervision; impunity from consequences of transgression; failure of grass cutting contract; ground left in poor condition after authorised use	Loss of amenity for parishioners and visitors; costly damage to Council; legal costs; visual intrusion and nuisance for neighbouring residents; time needed to clear up facility; see A5 above	M	M	See A4 above; public oversight by neighbours, dog walkers and other users; notices forbidding parking off public highway; regular, recorded inspections at each site; immediate action in event of unlawful or unauthorised use; conditions included in booking terms to ensure facilities are maintained at a good standard; see A5 above
B2	**Parish Allotments**: failure of tenants to use and maintain plots; failure of individual tenants to pay rental to council; ambiguity as to who has paid	Inadequate inspection of sites and follow-up; inadequate records of payments and follow-up; informal cash payments by tenants	Loss of amenity to parish and reduced income for council; poor value for money for council resources; lack of clarity on which tenants have paid plot rent	L	L	Regular, recorded inspection of allotments; letters sent to those contravening allotment rules; invoices sent out annually; payments logged by Clerk; ensure it is clear as to which plot is which

B3	**Council Notice Boards, Fixed Notices and Benches**: damage through neglect or vandalism; loss of means of communicating with parishioners	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	L	L	Regular, recorded inspection and maintenance of notice board and other notices within parish, and of benches. Items to be included on insurance policy.
B4	**Electronic Assets**: loss of council's computer equipment; loss of records of council finances, meetings, activities, reports, correspondence and other documents	Failure, theft or loss of clerk's computer and other IT equipment	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	H	H	Keeping computer and related equipment safe and locked up when not in use; using anti-virus software; maintenance and updating of equipment; taking regular backups of all electronic data and keeping these in a separate, secure location; insurance against equipment loss
B5	**Other Council Assets**: loss of, or damage to council Chain of Office, land deeds, physical records and historical papers	Burglary, fire, theft or neglect	Loss of historically valuable chain, deeds, records etc; perception that council has failed properly to protect its property	L	L	Ensuring assets are stored securely; checking all land deeds are registered with Land Registry. All assets to be included on insurance policy.

C. Business Delivery/Continuity

NO.	RISK	TRIGGER	CONSEQUENCE	LIKELI-HOOD	IMPACT	MANAGEMENT/ MITIGATION

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	L	H	Ensure both chair and vice-chair posts filled; elect replacements if necessary to officer posts; co-opt replacement councillors if necessary; trigger bye-election if required
C2	**Clerk/Proper Officer/RFO**: incapacity, resignation	Ill health; family demands, relocation, alternative employment	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
C3	**Bank Accounts**: freezing of account or inaccessibility of financial assets	Clerk or other signatories unavailable; court action following alleged fraud	Inability of council to meet its financial obligations	L	H	Sufficient financial signatories to ensure resilience; separate reserve account and current accounts; emergency action plan in place via Chair and Deputy Clerk.

D. Employer

NO.	RISK	TRIGGER	CONSEQUENCE	LIKELI-HOOD	IMPACT	MANAGEMENT/ MITIGATION
D1	**Employer Responsibilities**: failure to comply with employment law and good practice with respect to staff	Ignorance of legal requirements; excessive informality in employer/employee interaction	Employee stress, dissatisfaction and potential resignation	L	M	Ensure clerk managed effectively by chair with support of liaison councillor; provide training to councillors and or staff as necessary on good employment practice; ensure other staff are properly managed by clerk

D2	**Clerk/Proper 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; set out clerk's duties clearly and in writing, including job description; provide regular two-way feedback on performance and ways of working
D3	**Staff Salaries**: not paid, paid late or incorrect amount; employer and employee 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 NI	L	L	Effective procedures in place; pay by cheque/BACS; regular financial checks as set out in adopted financial regulations; regular checks of payments and accounts
D4	**Health and Safety**: failure to meet employer health and safety obligations to staff	Unacceptable working conditions or hours	Potential damage to health or well-being of staff	L	L	Staff work 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 staff and statutory requirements

E. Propriety and Reputation

NO.	RISK	TRIGGER	CONSEQUENCE	LIKELI-HOOD	IMPACT	MANAGEMENT/ MITIGATION
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	M	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; councillor training

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	No councillors are paid for their time or their expenses
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	Parish Council meetings are held on a non-political basis. If breached then councillor to be referred to Disciplinary Panel. If this does not resolve the issue then councillor to be reported to Monitoring Officer and advice sought
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	Council meetings well attended by councillors and frequently by parishioners interested in particular agenda items; council has demonstrated sensitivity to opinions of parishioners, taking these into account through consultation