



## Wheatley Parish Council Risk Register (draft 20<sup>th</sup> April 2023)

Risk Title	Consequences	Date identified	Owner	Status (live, paused, suspended)	Risk Rating (RAG)	Mitigation Actions	Progress	Closure Date
<b>Financial</b>								
Accidental damage/vandalism to fixed assets	Cost of repair Loss of service until repaired		Clerk/RFO	Live	G	-Maintain insurance -Play area inspection regime -Adequate budget		
Loss to third parties	Possible litigation Costs/damaged		Clerk/RFO	Live	G	-Annual review of risk assessments -Review of insurance cover -Contractors checked for adequate insurance		
Inadequate insurance	Balance of costs		Clerk/RFO	Live	G	-Review of insurance cover annually or if circumstances change		
Failure to calculate/submit precept on time	Inadequate resources to meet commitments		Clerk/RFO	Live	G	-Action taken once information available from SODC -Meeting schedule and agendas provide opportunities for members to discuss and approve items -Reports prepared		
Inadequate precept and/or budget	Inadequate resources		Clerk/RFO	Live	G	Members/officers draft suitable budget to cover commitments and projects. Training opportunities for members and officers		
Failure to account for and recover VAT	Loss of potential income		Clerk/RFO	Live	G	Clerk/RFO to review during the year, supported by external bookkeeper		
Failure to stay within budgets	Inadequate control wasted resources		Clerk/RFO	Live	G	Finance committee to review budgets and reserves five times a year. Internal auditor appointed. Investment policy reviewed		

Holding excessive or inadequate reserves	Internal/External Auditors report Poor use of resources Inability to meet objectives		Clerk/RFO	Live	G	Finance committee to review budgets and reserves five times a year.		
Fraud by Clerk/RFO	Reputation Costs and litigation		Clerk/RFO	Live	G	Internal checker Internal audit Approval scheme for payments		
Fraud my members	Reputation Costs and litigation		Clerk/RFO	Live	G	Internal checker Internal audit Approval scheme for payments		
Illegal activity/payments	Intervention by auditor		Clerk/RFO/ Members	Live	G	Internal checker Internal audit Approval scheme for payments		
<b>Environmental</b>								
Failure to maintain trees	Possible litigation Costs/damaged		Clerk/RFO	Live	G	-Annual review of risk assessments -Review of insurance cover -Tree inspections in line with Tree policy -Tree Policy reviewed regularly		
Failure to maintain waterways	Possible litigation Costs/damaged		Clerk/RFO	Live	G	-waterways managed appropriately		
Failure to transport and dispose of waste appropriately	Penalties for non-compliance Reputation		Clerk/GMO	Live	G	-Appropriate waste carrier licences held -waste disposed of correctly		
Failure to manage council land adequately	Possible litigation Costs/damaged		Clerk/RFO	Live	G	-Annual review of risk assessments -Review of insurance cover		
<b>Community</b>								
Emergency situation within village	Unable to support agencies and community		Clerk RFO	Paused	A	-create a village emergency plan - share sections with OCC and cillage organisations		
Lack of community participation in meetings	Public's views not heard Community disengaged Vacancies Lack of Transparency		Members	Live	A	-meeting schedule available -meeting agendas and minutes available -public participation advertised and scheduled in meetings -room capacity is adequate -guidance given to public attending		

Failure to correctly identify local needs or wishes	Lack of representation of community Lack of facilities for community		Members	Live	A	-members to maintain close contact with community -parish surgeries held twice a week -publicise opportunities to attend meetings -publicise consultation opportunities -use events to seek comments and views		
Lack of defined objectives or strategy	Resources not used in an effective and efficient way Poor performance by council Lack of monitoring		Members	Live	G	Council approved strategic plan and action plan Quarterly and annual review		
Inappropriate use of social media by officers/councillors	Code of Conduct infringement Reputational risk		Members /Officers	Live	G	-Communications policy in place -Social Media Policy in place for members and officers		
<b>Governance &amp; Compliance</b>								
Failure to attract sufficient candidates for vacancies or elections	Possible inquorate meetings Lack of resources Inability to represent the council		Members Clerk	Live	G	-advertise council achievements and projects and opportunities to be involved -advertise elections/co-option opportunities		
Failure to achieve quorum at meetings	Business not transacted Decisions not made		Members	Live	G	-agree and issue calendar of core meetings -issue calendar invites to core meetings - record attendance		
Lack of public consultation by council	Decisions not made based on evidence Disengaged community		Members	Live	G	-ensure meetings are advertised in line with communications policy -review communications policy -seek interesting speakers for annual meeting -include public participation -hold surgeries, twice a week		
Failure to arrange electors wishing to exercise right of inspection	Non-compliance with statutory requirements Lack of transparency Complaints received		Clerk/RFO	Live	G	Clerk/RFO to advertise opportunities and respond to requests		

Members acting along outside meeting	Indemnities invalidated. Personal risk		Members	Live	A	-induction carried out by Clerk including copy of 'Good Councillor Guide' given -councillor training attended -updates and reminders shared -Cllr code of conduct		
Council decisions not implemented	Reputational risk Possible loss of finances (grants)		Clerk/RFO	Live	G	-outstanding actions reviewed at each meeting -Internal audit report		
Inaccurately, untimely, improper minutes	Poor evidence or decisions Decisions unlawful		Clerk	Live	G	-minutes checked by Chairman -minutes displayed on council website and circulated to councillors		
Failure to recognise and address conflict of interest	Lack of transparency Challenges regarding bias, transparency Reputational risk		Members	Live	G	-member compliance with code of conduct		
Incomplete/inaccurate register of Members' interests	Lack of transparency Challenges regarding bias, transparency Reputational risk		Members	Live	G	-interests to be registered within 28 days of election/co-option. -documents to be updated, as required		
Failure to complete/submit AGAR on time	Auditors report qualified. Reputational risk		Clerk/RFO	Live	G	-Clerk/RFO works to dates provided by Internal or External Auditor		
Improper contracting procedures	Poor levels of service Loss of funds/increased expenditure		Clerk/RFO	Live	G	-Financial Regulations reviewed at least annually, more frequently if legislation changes -Use of contract finder (or equivalent) for contracts over £25k		
Loss of data from IT system	Interruption to service Possible financial loss Sanctions from ICO		Clerk/Ast Clerk	Live	G	-Data backed up daily by IT provider -security measures implemented and used on devices.		
Loss of services from officers	Interruption to effective administration		Members /Clerk	Live	G	-Assistant Clerk in place -Locum assistance is available		
Lack of professional advice	Poor/unlawful decisions		Clerk/RFO	Live	G	-maintain memberships to OALC/NALC -clerk to maintain SLCC membership -adequate budget for professional fees		
Allegations of libel or slander	Potential for litigation Costs of investigation Reputational risk		Members	Live	A	-Chairman/Clerk to intervene in meetings -review of all press releases/articles before release		

						-review of insurance cover -social media and communications policies in place		
<b>Stakeholders</b>								
Ineffective relationships with stakeholders and community groups	Breakdown of relationships Risk of non-delivery of community needs Additional responsibilities falling to council Ill-feeling Reputational risks		Members	Live	A	-representations agreed at start of council year -members attending and supporting organisations -regular contact with stakeholders -meetings held to discuss issues -council meetings held to make decisions		
Failure to undertake responsibilities as land owners/leaseholders	Inability to deliver services Responsibilities returning to council Projects not delivered in agreed timeframes Ill feeling Reputational risks		Members	Live	A/R?	-members have understanding of their commitments -meetings take place to discuss issues -adequate finance allocated to deliver projects -professional advice sought to ensure compliance		