



# Wheatley Parish Council Risk Register (draft 3<sup>rd</sup> July 2023)

This document uses a RAG (Red, Amber, Green) rating. These are classified as:

Red – Issues of high concern, requiring action to be undertaken

Amber – Issues that should be monitored, with a view to reducing to ‘green’ where possible

Green – Issues to be aware of that are deemed not to be of concern at the time.

Risk Title	Consequences	Date identified	Owner	Status (live, paused, suspended)	Risk Rating (R A G)	Mitigation Actions	If Red, what action is to be/has been taken	Progress	Closure Date
<b>Financial</b>									
Accidental damage/vandalism to fixed assets	Cost of repair Loss of service until repaired	Apr2023	Clerk/RFO	Live	G	-Maintain insurance -Play area inspection regime -Adequate budget			
Loss to third parties	Possible litigation Costs/damaged	Apr2023	Clerk/RFO	Live	G	-Annual review of risk assessments -Review of insurance cover -Contractors checked for adequate insurance			
Inadequate insurance	Balance of costs	Apr2023	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	Apr2023	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	Apr2023	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	Apr2023	Clerk/RFO	Live	G	Clerk/RFO to review during the year, supported by external bookkeeper			

Failure to stay within budgets	Inadequate control wasted resources	Apr2023	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	Apr2023	Clerk/RFO	Live	G	Finance committee to review budgets and reserves five times a year.			
Fraud by Clerk/RFO	Reputation Costs and litigation	Apr2023	Clerk/RFO	Live	G	Internal checker Internal audit Approval scheme for payments			
Fraud my members	Reputation Costs and litigation	Apr2023	Clerk/RFO	Live	G	Internal checker Internal audit Approval scheme for payments			
Illegal activity/payments	Intervention by auditor	Apr2023	Clerk/RFO/ Members	Live	G	Internal checker Internal audit Approval scheme for payments			
<b>Environmental</b>									
Failure to maintain trees	Possible litigation Costs/damaged	Apr2023	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	Apr2023	Clerk/RFO	Live	G	-waterways managed appropriately			
Failure to transport and dispose of waste appropriately	Penalties for non-compliance Reputation	Apr2023	Clerk/GMO	Live	G	-Appropriate waste carrier licences held -waste disposed of correctly			
Failure to manage council land adequately	Possible litigation Costs/damaged	Apr2023	Clerk/RFO	Live	G	-Annual review of risk assessments -Review of insurance cover			

Community									
Emergency situation within village	Unable to support agencies and community	Apr2023	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	Apr2023	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	Apr2023	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	Apr2023	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	Apr2023	Members /Officers	Live	G	-Communications policy in place -Social Media Policy in place for members and officers			

Governance & Compliance									
Failure to attract sufficient candidates for vacancies or elections	Possible inquorate meetings Lack of resources Inability to represent the council	Apr2023	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	Apr2023	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	Apr2023	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	Apr2023	Clerk/RFO	Live	G	Clerk/RFO to advertise opportunities and respond to requests			
Members acting along outside meeting	Indemnities invalidated. Personal risk	Apr2023	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)	Apr2023	Clerk/RFO	Live	G	-outstanding actions reviewed at each meeting -Internal audit report			
Inaccurately, untimely, improper minutes	Poor evidence or decisions Decisions unlawful	Apr2023	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	Apr2023	Members	Live	G	-member compliance with code of conduct			
Incomplete/inaccurate register of Members' interests	Lack of transparency Challenges regarding bias, transparency Reputational risk	Apr2023	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	Apr2023	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	Apr2023	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	Apr2023	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	Apr2023	Members /Clerk	Live	G	-Assistant Clerk in place -Locum assistance is available			
Lack of professional advice	Poor/unlawful decisions	Apr2023	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	Apr2023	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	Apr 2023	Members	Live	A	-representations agreed at start of council year -members attending and supporting organisations -regular contact/meetings with stakeholders -council meetings held to make decisions			
Failure to undertake responsibilities as landowners/leaseholders	Inability to deliver services. Responsibilities returning to council. Projects not delivered in agreed timeframes. Ill feeling Reputational risks	Jun 2023	Members	Live	R	-members to understand their commitments -meetings take place to discuss issues -adequate finance allocated to deliver projects -professional advice sought to ensure compliance	July 23, request made to WPC for a legal review of lease be undertaken Regular meetings between WPC & WPFT		