

## Alderton Parish Council Risk Register

Risk management is the process whereby local councils methodically address the risks associated with what they do and the services which they provide. The Parish Council should identify potential risks, then take all practical and necessary steps to reduce or eliminate the risks associated with working conditions, workplace activities and environmental factors, as far as is practically possible. This document should enable the Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them.

Assessment Scoring: 1 = low; 2 = low/medium; 3 = medium/high; 4 = high

Activity	Risk	Cause	Effect	Likelihood	Actions
1. Finances	Sudden large expenditure required or excessive under budgeting	Unforeseen problem / Poor budgeting	Service not provided. Lack of confidence in council. Inability to carry out functions. Insufficient funds for contingencies	2	Council has some reserves. Insurance in place to cover major risks. Careful budget planning
2. Finances	Adequacy of Precept	Precept not submitted to CDC.  Precept not received by Parish Council	No income for parish council to continue its work	1	RFO to prepare budget, taking into account expenditure + projects,  Full review of proposed budget by Council in November. Regular review of expenditure vs. proposed budget.  RFO to submit precept figure before deadline.  RFO to advise council of receipt of precept at next available meeting.

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3.Finances	Fraud	Inadequate controls/ record	Loss of funds Financial irregularities	1	Financial Regulations reviewed annually to ensure they are adequate. Annual internal & external audit. Bank balances reported at every meeting with bank reconciliation. Bank balance and expenditure audited by councillor twice a year. Cheques + cheque stubs signed by 2 councillors upon sight of original invoice
4.Finance – VAT	VAT not re-claimed within time limit	Poor accounting	Loss of funds Financial irregularities	2	All VAT receipts to be recorded. Separate column to show VAT PAYMENTS ON Accounts spreadsheet. RFO to produce refund analysis and make claim to HMRC for recovery of amounts within time scale. All documentation for this process to be maintained in council records
5. Assets	Damage, theft	Vandalism, accident, storms	High cost of repair or replacement. Loss of Assets. Disruption. Damage to public property or person	2	Maintain up to-date register of assets. Regular maintenance for physical assets and register of inspections. Monthly inspection of defibrillator and phone box.  Annual review of risk and adequacy of insurance cover.
6. Contractors	Contractors not supplying services	Unavailable due to illness, poor weather	Poor Services	1	Contracts are defined. Contracts are informally monitored by Clerk & Councillors. Corrective action taken as required.

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7. Insurance	Inadequate Insurance cover for the Council, its employees, and assets	Failure to renew insurance policy. Cover on policy inadequate/	Council is uninsured and liable to insurance claim.	2/3	An annual review is undertaken of all insurance arrangements in place. Employers Liability, Public Liability and Fidelity Guarantee are a statutory requirement. Officials' Indemnity also in place.
8. Parish Council records and archives	Loss of Parish Council records	Fire, Flood, theft		1	Lodge archived records with Gloucestershire County Council's Archives Office. Any risk to these records is unlikely.
9. Electronic Records	Loss of documents on Clerk's computer	Computer crash, fire, theft, flood	Loss of records	2	Back-up copies onto portable memory stick and kept away fireproof filing cabinet. Minutes kept as hard copies and copies emailed to all councillors. Minutes & policies held on parish council website Secure passwords to be used on all electronic devices + websites
10. Clerk to the Parish Council	Unavailability	Resignation, illness	Work to of the Parish Council cannot be carried out	2	Urgent work carried out by the Chairman and other Councillors. Contact GAPTC about availability of temporary cover. Approach other local Clerks.
11. PC Meetings	Accommodation unavailable for meetings	Damage to Village Hall. VH already booked	Meeting room unavailable	1	Use nearby village hall or similar amenity
12. Membership of the Parish Council	Vacancies on council	Resignation, retirement, insufficient nominations at elections	Meetings cannot be held due to not being quorate	2	Identify on unofficial basis local residents who might be interested in becoming councillors.

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Minute Ref: 250415/15.2

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13. Members Interest	Member has not disclosed a Declaration of Interest relating to an agenda item	Conflict of Interest by Member	Resolutions cannot be met due to insufficient number of Cllrs	2	Standard agenda item for members to declare any personal or prejudicial interests they have + need to disclose of matters to be discussed. Clerk to keep log of any DoI's, agenda item + date
14. Safety of Cllrs + Clerk	Physical safety of Cllrs + clerk on site meetings	Inadequate precautions. Accidents due to unsafe ground or buildings	Injury to person and/or compensation claimed from council	2	At site meetings, all councillors to adhere to any safety requests from site managers. Adequate insurance in place to cover accidents.

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