

Sampford Courtenay Parish Council Risk Register

1 Scope & Purpose

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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, as far as is practically possible. This document should enable Sampford Courtenay Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them.

2.1 Risk versus Hazard.

It is a common mistake to confuse "Risk" and "Hazard". A Risk Register should not be a list of Hazards, or potential Hazards. These definitions should help clarify the difference. A Hazard is a specific thing or event which can cause harm to people or result in damage to property. All Hazards should be removed and negated in the interest of safety. A Risk is the remaining probability of some adverse event that is left when all possible Hazards have been removed.

2.2 Management of Risk

In Managing Risk and Hazard in the Parish, all parishioners, as part of their day-to-day life conscientiously pay attention to potential problems in the parish. In the normal course of events, parishioners notify the Parish Council or other responsible bodies as required or appropriate. The purpose of this risk register is to list all remaining risks that we have identified, and their mitigation. This mitigation can be affected by; -Careful monitoring of internal controls and policy -Through the Public Liability Insurance held for this purpose by Sampford Courtenay Parish Council.

Ref	Risk Title	Risk	Current Control - Measures / Actions	RISK POST MITIGATION		
				Impact	Likelihood	Risk Rating
1	Adherence to employment law	Failure to adhere to employment law leaving clerk at risk / low morale / PC as employer at risk	Employment contract in place. Pension is currently opted out Employment policies are in place and are followed and reviewed. Training and development plan for staff and councillors.	1	1	1
2	Councillor roles and responsibilities	Roles performed inadequately. Conflict of interest.	Reference materials and access to assistance. Code of conduct training prior to taking office. Councillor Induction Membership of DALC and DCC, declaring of interests and consideration of dispensations by members at a meeting will remain on each agenda. Registers of Members Interest to be maintained and reviewed regularly by Councillors. Actively publicise Council activities; vacancies on noticeboard, Website and Social Media.	1	2	2
3	Councillor roles and responsibilities	Failure to attract candidates to vacancies or a cross section of Councillors to stand.	Proactive response to those who express an interest. Provide adequate training / induction. Promote at election time. Community engagement strategy, Local Council Awards Scheme for council credibility	2	3	6
4	Record keeping	Failure to maintain accurate minutes / records: lack of transparency; decisions not recorded so actions may be missed; approvals not recorded	Minutes and agenda are produced in the prescribed method by the Clerk and adhere to the legal requirements. Minutes are approved and signed at the next Council meeting. Minutes and agenda are published according to the regulations.	1	2	2
5	Conduct	Failure to achieve quorum at meetings Business conduct Council decisions not implemented Lack of public participation	Business conducted at Council meetings should be managed by the Chairman according to Standing Orders. Chairman should be provided with training & guidance Members to adhere to Code of Conduct. Review minutes for confirmation of action, Clerk & Chair report at full meetings.	1	2	2
6	Inadequate records financial irregularities	Inadequate records financial irregularities	Budget update, bank balances and breakdown of receipts and payments produced and approved at each full Council meeting The Council has Financial Regulations which set out the requirements. Adhere to the Local Government Transparency Code 2015	1	1	1
7	Insurance	Inadequacy of insurance Cost increase Compliant with insurance requirements.	Business conducted at Council meetings should be managed by the Chairman according to Standing Orders. Chairman should be provided with training & guidance Members to adhere to Code of Conduct. Review minutes for confirmation of action, Clerk & Chair report at full meetings.	1	2	2
8	Emergency Resilience Plan –	Plan in place to support parish in event of emergency not regularly reviewed	Emergency plan needs reviewing and approving every 12 months. Regular engagement with Devon Community Resilience Forum	2	3	6
9	Annual return: incorrectly completed or dates missed	Failure to complete return will result in financial penalties, legal action pursued against the Council and a public interest report.	Clerk to attend training/ workshops as required Annual Return is completed and submitted to the internal auditor for completion and signing. Meeting held to approve accounts in time for sending to external Auditors	1	1	1
10	Internal audit	Failing to appoint an internal auditor therefore being unable to provide satisfactory governance of the Council and to progress to the external audit.	Suitably qualified internal Auditor has been successfully proceed to date.	1	1	1
11	Banking errors:	Fraud or accidental Incorrect payments & bank mistakes	Two signatories required on cheques and for online payments. Clerk checks bank statements monthly. The Council has Financial Regulations which set out the requirements for banking, cheques and reconciliation of accounts. Review bank mandate and Financial regulations annually.	1	2	2
12	Incurring bad debt	Bad debt being incurred and impacting budget position	Only monies received are from grants, fund raising, precept and VAT refund. Internal control checklist; currently finance regs followed.	1	2	2
13	Budget	Budget overspend - unable to discharge statutory functions	Check budget every month and scrutinising budget quarterly at full council meeting. Planning for budget for the following years as per finance regulations.	1	1	1
14	Value for money / proper exercise of duty in financial matters	Work awarded incorrectly Overspend on services	The Council has Financial Regulations which set out the requirements and values for contracting works. Any project budgets to be closely monitored	2	1	2
15	Risk of Election costs	Risk that unbudgeted election required and limited budget available	Parish elections every four years; next in 2027. Funds are allocated in ear marked reserves and reviewed yearly to make provision for 4 yearly election cycle. Potentially future high risk of lack of funds	2	2	4
16	Damage/ injury to third party incurred on PC owned land or equipment	Inherent risk of operating play area	Public liability insurance held, PPHA management and liability includes monthly and annual programme of inspection and schedule of maintenance for village green. Asset register updated and all assets checked twice yearly. Annual Health & Safety check on playground ad equipment'	2	3	6
17	Damage to assets: village green	Damage to assets in the park such as vandalism of equipment; risk of arson	monthly checks of equipment by a nominated parish councillor	2	3	6
18	Damage to assets: public toilets	Damage to assets in the toilets	Insurance in place; limited equipment to vandalise	1	2	2

20	Councillor / staff / public safety	Meeting location, Adequacy, Health & Safety ;	Meetings held in Village Hall. Premises considered to be adequate for, Meeting risk assessment completed visually before every meeting.	1	1	1
21	Information management	Council records: Loss of paper records through theft, fire	Parish records (historic ; current) stored at the home of the Clerk. Records stored on Clerks computer, backed up with external hard drive.	1	2	2
22	Information management	General Data Protection Regulations (GDPR). Adhere to retention of records.	Ensure Councillors and any working groups adhere to Data protection policy. Follow Data breach policy if required. Ensure Councillors sign data protection check list. Review policy's each year. Complete Data audit each year and report to Council. Registered with Information Commissioners Office. Follow retention of records procedures according to GDPR.	1	2	2
23	Street lights	Part of Street lighting breaking off and hitting passer by, or street lights failing	Maintenance by electricity company. Street lights maintenance schedule adhered to.	1	2	2
24	Bus Shelters	Damaged bus shelters cause injury	Reporting of issue to the Parish Council promptly. Sign on the Bus Shelter to explain reporting procedure.	1	2	2
25	Defibrillators	Defibrillators not maintained and fail to work when needed	Monthly checks undertaken by nominated village resident.	1	4	4

The Council's Risk Scoring System is:				
Likelihood				
Score and Desc	Probability			
1. Remote	Is never likely to occur			
2. Unlikely	Unlikely to occur in the next 12 months without specific action to avoid			
3. Possible	Could possibly occur in the next 12 months without specific action to avoid			
4. Probable	Will probably occur in the next 12 months without specific action to avoid			
5. Certain	Is certain to occur in the next 12 months without specific action to avoid			
Impact				
Score and Desc	Impact Guide			
1. Minor impact	Risks where the consequences will not be severe and the associated losses will be minor. There will be no impact on the council as a whole as a result. Individual occurrences will have a negligible effect on service provision or programme deliverables, but may be a significant cumulative effect if untreated.			
	No significant disruption to service.			
	Some public embarrassment, no damage to reputation			
	May result in complaints that are easy to manage			
2. Moderate impact	Breaches of regulation/standards			
	Risks which have a noticeable effect on Council or partnership services provided or programme deliverables. Each will cause some disruption and hit the budget at a Service/programme level, but will not adversely impact the Council as a whole. Issues can be managed at directorate level. Examples:			
	Short term disruption of service capability			
	Financial loss, managed at Service/programme level			
	Medical treatment required, semi permanent harm (up to 1 year)			
3. Major impact	Some adverse local publicity, needs careful public relations			
	Legal breaches punishable by fines			
	High potential for complaint, litigation possible			
	Risks which can have a major effect on the operation of the Service or partnership, or a major impact on programme delivery. May result in major financial loss, major service disruption or a significant impact on the public specifically in relation to the Service/partnership/programme. Impact on the Council as a whole will be limited, but will need to be contained at Directorate level. Examples:			
	Significant impact on service objectives			
4. Catastrophic impact	Short-medium term impairment to service capability			
	Major financial loss, may be contained at Service/partnership level			
	Extensive injuries, major permanent harm			
	Risks which can have a catastrophic effect on the Service, partnership or programme. Impact on the Council will be contained, but may need to be managed at a corporate level rather than simply at Directorate level. May result in critical financial loss for the service, severe service disruption or a severe impact on the public. Examples:			
	Imprisonment/heavy fines for legal breaches			
	Failure of critical programme areas			
	Severe financial loss that extends beyond the service			
	Medium-long term damage to service/partnership capability			
5. Catastrophic impact	Major permanent harm, multiple instances			
	Accidental death			
	Severe adverse local publicity, loss of public confidence			
	Adverse national publicity			
	Risks which can have a catastrophic effect on the Service, partnership or programme and potentially the Council. May result in critical financial loss, service loss or a severe impact on the public. Examples:			
	Imprisonment for legal breaches			
	Total failure of programme/partnership			
Severe financial loss to the Council as a whole				
Long term damage to service/partnership/directorate capability				
Death through negligence/Multiple death scenarios				
Adverse national publicity, severe loss of public confidence				
Overall Risk Rating				
0-7 is Green				
8-15 is Amber				
16+ is Red				