ICKLEFORD PARISH COUNCIL

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QUALITY PARISH COUNCIL

Risk Management Schedule

Risk Assessment Matrix to assess risk

PROBABILITY:				
Likely	4	8	12	16
Occasional	3	6	9	12
Seldom	2	4	6	8
Unlikely	1	2	3	4
IMPACT:	Minor	Moderate	Substantial	Major
	1	2	3	4

Multiply probability by impact to identify levels of risk:
Green – Very low (accept)
Blue – Low (allow)
Orange – Medium (mitigate)
Red – High (avoid)

Examples of impact:

Minor	Moderate
First aid sufficient to treat any injuries **No significant disruption to service** **Unlikely to cause adverse publicity** **Unlikely to receive complaints** **Financial loss below £5000** **Breach of local procedures or standards** **Maximum 2 people involved**	**Medical treatment required for injuries, may be long-term** **Short-term disruption to service** **May need management of publicity, e.g. on social media** **May receive complaints and litigation claims** **Financial loss between £5000 and £50,000** **Breach of regulations** **Between 2 and 5 people involved**
Substantial	**Major**
Extensive or permanent injuries or long-term sickness **Short-term loss of service** **Adverse local publicity** **Probable litigation claims** **Financial loss between £50,000 and £150,000** **Breach of the law punishable by a fine** **Between 5 and 10 people involved**	**Death** **Medium- or long-term loss of service** **Adverse national publicity** **Certain litigation claims with lack of defence** **Financial loss in excess of £150,000** **Breaches of the law punishable by imprisonment** **More than 10 people involved**

Schedule:

Financial Risk					
Subject	**Risk Identified**	**Overall risk**	**Management / control of risk**	**Responsibility**	**Reference**
Salaries	Salary paid incorrectly HMRC deadlines missed	Very low	Salary bands set by Local Government/NJC Pay rises approved by full council HMRC payroll software used Clerk recently recommended a third party payroll company for salaries	RFO Councillors	Financial Regulations Meeting minutes Internal Controls
Employee	Fraud Absence	Very low	Specific PC laptop and associated software Two signatories for each payment required Transparency with all transactions Insurance provision	RFO Councillors	Financial Regulations Contract of employment Insurance policy Internal controls
VAT	Failure to record VAT Failure to reclaim VAT Errors with reclaim	Very low	Cash book column for VAT amounts Official gov.uk online forms for reclaim	RFO	Financial Regulations HMRC guidelines

Precept	Inadequate precept requested	Very low	Careful budget preparation Request sent to NHDC in time	RFO Councillors	Financial Regulations
Budget	Insufficient budget allowed Unexpected expenditure incurred	Low	Prepared by RFO and Finance Committee Councillors Accurate accounting records kept Approved by full council	RFO Councillors	Financial Regulations Annual accounts
Payments out	Incorrect amount paid Invalid invoices Incorrect payee No legal power to spend	Low	Cross-checking of cash book, invoices, cheque book, online banking Checked and authorised by two signatories Spending powers checked	RFO Councillors	Financial Regulations Localism Act 2011 Code of Conduct
Grants awarded	Grant funding not adequate No relevant powers to grant Funds spent inappropriately	Low	Councillors kept updated on financial situation Check powers allow grant awards Approval by full council Request receipts for goods or services purchased with grant funds	RFO Councillors	Financial Regulations
Grants received	Grants agreed but not received Funds spent inappropriately	Low	Check receipt of funds and contact relevant council if not received Ensure funds received before spending on specified projects Careful records to ensure funds spent on specified projects	RFO	Meeting minutes for authorisation to apply for grant Financial Regulations Code of Conduct
Tenders / contracts	Tender process not fair or correct Contracts mismanagement	Low	Ensure tender process is followed and transparent Check work carried out and invoices received are within agreed terms	RFO Councillors	Financial Regulations
Annual Return	Incorrect completion Bank reconciliations mismatch Financial statements incorrect Submission after deadline	Low	RFO attended courses and follows procedure Careful accounts kept Organisation of weekly/monthly/annual tasks Advice to Councillors on how to address the financial statements Councillors to receive finance training	RFO Councillors	Financial Regulations Accounts & Audit Regulations 2011 Audit Commissions Act 1998
Assets	Loss or damage Risk to third party	Medium	Regular inspections Insurance cover Regular review of public liability insurance	RFO/Clerk Councillors	Financial Regulations Local Government Act 1972, s.111
Compliance Risk					
Agendas and minutes	Accuracy Agenda not issued within		Agenda and minutes produced according to regulations and guidelines	Clerk Councillors	Standing Orders LGA 1972, Sch. 12

Statutory notices Documents Meetings	timescale Minutes not produced or inaccurate Business not conducted lawfully Unruly behaviour	Low	Chairman's notice on transparency and public attendance read out in meetings Correct procedure followed for all decisions made		Localism Act 2011 Code of Conduct LGA 1972, Sch 12, para 39(1)
Insurance	Adequate cover Cost Non-compliance	Medium	Annual review of general cover Regular review of cover for activities and events Annual review of insurers with regard to cover and value	Clerk Councillors	Financial Regulations Risk Assessments for
Policies, including Health and Safety, Equality and Diversity, Publication, Recruitment, Social Media	Non-compliance Breach of legislation Complaints from members of the public	Medium	Regular review of policies to ensure compliance with the law and that procedure is followed when carrying out recruitment, posting on social media, publishing an article or document on the website, carrying out activities in the community, etc	Clerk Councillors Volunteers	
Data Risk					
GDPR and Freedom of Information	Accidental data breach Other non-compliance	Medium	Training on GDPR and data protection ICO consulted with any queries Records kept according to procedure Clerk advise Councillors on up-to-date procedure and legislation	Clerk Councillors	Information Commissioner's Office guidelines Freedom of Information Act 2018 UK General Data Protection Regulation (UK GDPR) 2021
Council and public records	Loss of data or paper records due to theft/damage to laptop, or to theft, fire or damage to home office	Medium	Laptop has passwords to prevent use in case of theft, and regularly backed up Paper records kept in home office and outside storage – house secure with smoke alarms, and outside storage securely locked with padlock; access restricted to clerk Insurance cover	Clerk	Retention of Documents Policy UK General Data Protection Regulation (UK GDPR) 2021
Risk to people					
Employees, members, volunteers	Injury at work, at meetings or during Parish Council events or activities	Medium	Correct office equipment (desk, chair etc) Meeting room kept clean and clear with tables and chairs regularly checked for damage; adequate space for Councillors and	Clerk	Insurance Health and Safety Policy Health and Safety at

			members of the public Recruitment of employees and volunteers carried out fairly Risk assessments carried out for all events and activities and any risk mitigated with specialist equipment/training/providers Correct insurance cover provided including public liability insurance and specialist insurance for volunteers and members during river projects		Work Act 1974 Equality and Diversity Policy Equality Act 2010
Risk to land owned by Parish Council					
Upper Green	Injury to persons on the green Damage to green, including trees Damage to property (water pump, Remembrance plaque)	Medium	Risk assessment for all events and activities During events, ensure all equipment/service providers etc are following H&S guidelines Any cables to be covered Christmas tree / water pump fenced off Public liability insurance Benches checked regularly for damage	Clerk Third parties	Health & Safety Policy Health and Safety at Work Act 1974 Insurance

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