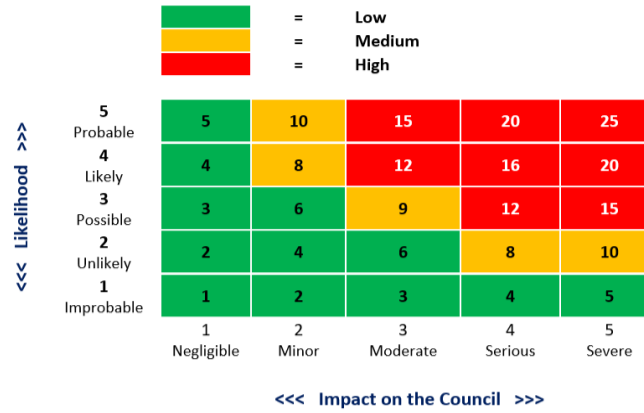


This register has been developed in accordance with Joint Panel on Accountability and Governance (JPAG) - Practitioners Guide.

Alderbury Parish Council
Risk management policy - KEY

Tolerate	For risks that are containable; where the possible controls cannot be justified (e.g., they would be disproportionate) and where risks are unavoidable e.g., terrorism. LOW & MEDIUM RISKS
Treat	Imposing controls so that the organisation can continue to operate; or introducing measures to deal with the risk. MEDIUM & HIGH RISKS
Transfer	Buying in a service from a specialist external body or taking out insurance. Some risks cannot be transferred, especially reputational risk. HIGH RISKS
Terminate	Avoiding or cancelling activities where no response can bring the risk to an acceptable level. HIGH RISKS

Alderbury Parish Council's risk assessment matrix and RAG rating:



Governance

Risk	Impact	Ongoing Risk			Response	Controls/Treatments	Owner	Risk allowing for treatments		
		Likelihood	Impact	Rating				Likelihood	Impact	Rating
Failure to respond to electors' wish to right of inspection	Loss of confidence Loss of reputation Legal challenge	1	5	5	Treat	Clear Standing Orders and Operating Protocols Documented procedures to deal with enquiries from the public	Clerk	1	3	3
Failure to meet the stipulated timetables when responding to consultation invitation	Affect reputation Ineffectual involvement Failure to serve constituents	1	1	1	Tolerate	Documented procedures to deal with responses to consultation requests	Clerk	1	1	1
APC lacks relevant skills and commitment	Council fails to achieve its purpose Poor decisions/ loss of resources Poor value for precept money	2	4	8	Treat	Training for councillors Close review of attendance Qualified Clerk	Chair/Clerk	2	3	6
APC becomes dominated by one or two individuals or cliques form	Conflicts of interest Pursuit of personal agendas Decisions made outside Council	2	4	8	Treat	Clear Standing Orders regarding conduct of a meeting . Avoid making commitments on behalf of the council	Chair	1	3	3
Councillors benefiting from APC membership	Affect reputation Conflicts of Interest	1	4	4	Treat	Clear Standing Orders Open system for payments Encourage declarations of interests Promote the code of conduct Obtain audit view	Members Clerk Clerk All Clerk	1	3	3
Having insufficient candidates for member vacancies	APC efficiency affected Lack of capacity	3	4	12	Treat	Actively publicise Council activities Seek candidates amongst friends and colleagues Publicise vacancies on notice boards, newsletter or local papers	Members Members Clerk	1	2	2
Failure to achieve quorum at meetings	Meeting cancelled	2	5	10	Treat	Issue annual meeting calendar to all members Issue meeting agendas promptly Maintain attendance register Contact members who fail to attend meetings	Clerk	1	3	3
Lack of public participation at meetings	Parishioners not aware of what is happening in their village	4	3	12	Treat	Ensure meetings publicised on notice boards Place articles in local newspapers / newsletters Include public participation on all agendas Ensure seating available at venue for public Provide advice for members of the public attending Publish agendas and minutes on website Social Media	Clerk Clerk Clerk Clerk Chair Clerk Clerk	1	2	2
Bad publicity	Local newspaper reports	2	4	8	Treat	Have all press releases or newsletter reviewed by Chair or Clerk before release Avoid speaking to the press outside meetings	Chair/Clerk All	2	2	4
Council decisions not implemented	Bad publicity Poor value for money	2	4	8	Treat	Review minutes for confirmation of action Review action log for confirmation of action Review correspondence as necessary	All All Chair/Clerk	1	4	4
Inaccurate minutes and poor document control	Information not passed on in a timely manner Deadlines missed Lack of achievement	1	3	3	Tolerate	Review and approve minutes at next meeting Obtain Chair's signature on approved minutes Retain signed minutes in minute book, and display on website and backups CILCA qualified Clerk Retain all records for required period	All Clerk Clerk Clerk Clerk	1	2	2

Failure to discharge PC responsibilities effectively	Loss of credibility Reputation Bad publicity	2	4	8	Treat	Guidance from the Clerk Support from Wiltshire Councillor Appropriate training CILCA qualified Clerk	Clerk All	1	3	3
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Business continuity

Risk	Impact	Ongoing Risk			Response	Controls/Treatments	Owner	Risk allowing for treatments		
		Likelihood	Impact	Rating				Likelihood	Impact	Rating
Disruption or obstruction by the Clerk (either willful or through incompetence)	Lack of progress Timescales not met Funding lost	1	5	5	Treat	Detailed Standing Orders Strictly programmed reporting Annual appraisal and performance management system HR nominated Councillor Strictly enforced procedures for data back-up and storage of documents	Chair/clerk Chair/clerk HR HR Clerk	1	4	4
Loss of the Clerk	Failure in budgetary controls Increased councillor workload Delayed maintenance and correspondence	3	5	15	Treat	Detailed job description Clear budgetary procedures Annual appraisal and performance management system Consider retention activities Contingency plans in place should clerk leave	Chair Members HR HR HR	2	4	8
Poor provision of services being carried out under contract	Loss of reputation Poor public image Poor value for money	2	4	8	Treat	Clear statement of management responsibility for each service Regular review of performance	Members Members	1	4	4
Lack of maintenance of APC owned property	Unbudgeted expenditure Injury to third party leading to insurance claims Damaged property Deterioration in parish appearance	2	5	10	Treat	Regular surveys Regular routine preventative maintenance Insurance cover Clear and unambiguous asset register	Clerk and members Clerk Clerk Clerk	1	4	4
Failure to correctly identify local needs or wishes	Poor public image Lack of support	2	3	6	Tolerate	Maintain close contact with local residents Use meetings to obtain residents' feedback Use questionnaires, where appropriate to identify local wishes Publicise plans and invite comments Relevant APM Review local papers, especially correspondence sections	Members Members All Clerk Members	1	3	3

Legal and regulatory compliance

Risk	Impact	Ongoing Risk			Response	Controls/Treatments	Owner	Risk allowing for treatments		
		Likelihood	Impact	Rating				Likelihood	Impact	Rating
Failure of the APC to comply with the law, in particular: Health and Safety Equal Opportunities Data Protection/GDPR Freedom of Information Human Rights Disability and Discrimination Employment Law	Fines and penalties from regulation bodies Employee claims Loss of reputation	2	5	10	Treat	Clear policies and procedures Regular review of Law Training for Clerk and Councillors CILCA qualified Clerk Prepare comprehensive job descriptions Join WALC, SLCC and use advice services Periodically review all activities to ensure ongoing compliance	Members Clerk All HR Clerk Clerk All	1	4	4
Failure to register members interests, gifts etc.	Member could make inappropriate gains Loss of reputation	2	4	8	Treat	Procedures in place for recording and monitoring Members interests and gifts Periodically review Code of Conduct Complete and sign 'Declaration of interests' form (with periodic review?)	Clerk All All	2	3	6

Fixed assets and operations

Risk	Impact	Ongoing Risk			Response	Controls/Treatments	Owner	Risk allowing for treatments		
		Likelihood	Impact	Rating				Likelihood	Impact	Rating
Damage or loss to APC owned property Insufficient protection of APC owned physical assets	Unbudgeted expenditure Disruption Loss of assets	3	3	9	Treat	Regular maintenance arrangements for physical assets Effective (and appropriate) fire alarm and intruder alarm systems Periodic review of insurance cover Regular programme of inspection of leased properties Record of keyholders	Clerk Clerk Clerk Chair Clerk	3	3	9
Damage to third party property or individual due to a service or amenity provided	Insurance claim	1	3	3	Tolerate	Public liability insurance Comprehensive event planning Regular checks of facilities Regular maintenance arrangements for physical assets	Members Clerk	1	2	2
Disease transmission - e.g. Lyme's Disease, Toxocarasis.	Insurance claim	1	3	3	Tolerate	Public awareness - Signs, Fountain magazine, website and footpath guide	Clerk	1	3	3
Legal liability as a consequence of asset ownership	Unbudgeted expenditure	2	3	6	Treat	Adequate insurance cover	Clerk	2	3	6
Failure to maintain fixed asset register	Inadequate insurance Lack of control over assets	1	3	3	Tolerate	Maintain and update fixed asset register Periodically review fixed asset register	Clerk Members	1	2	2

Financial management

Risk	Impact	Ongoing Risk			Response	Controls/Treatments	Owner	Risk allowing for treatments		
		Likelihood	Impact	Rating				Likelihood	Impact	Rating
Lack of forward planning and effective budgetary controls	Lack of direction and prioritization Inability to provide services and / or maintenance	1	5	5	Treat	In year budget reviews Accurate monthly accounts Feedback from surveys	Clerk Members	1	5	5
Inadequate reporting to APC	Poor quality decision making APC becomes ill-informed	1	4	4	Tolerate	Timely and accurate financial reporting Clear instructions to the Clerk Regular project reports	Clerk Members Clerk	1	4	4
Failure to ensure all business activities are within legal power	Illegal expenditure or receipts	1	3	3	Tolerate	Recording in the minutes the precise power under which expenditure is being approved.	Clerk	1	3	3
Loss of APC funds through fraud or dishonesty	Reduction in available funds Loss of reputation Legal action	1	5	5	Treat	Clear financial procedures Periodically review accounts and bank reconciliation Overt supervision of RFO Obtain adequate insurance cover Review and reconcile bank accounts on receipt of statements	Clerk Members Internal Auditor Clerk Clerk	1	3	3
Failure to ensure the adequacy of the annual precept within sound budgeting arrangements	Inability to provide services Lack of confidence in APC Inability to carry out functions Insufficient funds for contingencies	1	3	3	Tolerate	Full annual expenditure review when setting budget Monthly in-year budget progress reports CILCA qualified RFO	Members Clerk	1	3	3
Failure to calculate or submit precept request on time	Inability to function	1	4	4	Tolerate	Confirm submission dates with Wiltshire Council Prepare draft budgets in adequate time Prepare and submit precept request in adequate time.	Clerk	1	4	4
Problems due to borrowing or lending and /or banking arrangements Failure to comply with restrictions on borrowing	Effect on budget of failure of third party to repay loan Inability of APC to repay a loan	1	5	5	Tolerate	Include in annual budget Clear standing orders Prepare, adopt and adhere to codes of practice for procurement and investment	Members Clerk	1	5	5
Failure to use grants for intended purposes or under specific powers or under s137	Lack of funds for project for which grant was intended Investigation into the use of funds	1	1	1	Tolerate	Clear minutes Ensure funds are ring-fenced Clear financial procedures Regular reporting Maintain a separate record for s137 and grant expenditure	Clerk	1	1	1
Failure to keep proper financial records in accordance with statutory requirements	Inadequate financial control Loss of reputation Legal action	2	5	10	Treat	Regular scrutiny of financial records and proper arrangements for the approval of expenditure CILCA qualified RFO Review reports from internal and external auditors Comply with financial regulations which are updated regularly Maintain all records up-to-date	Members Internal Auditor Clerk All Clerk	1	5	5
Failure to account for income properly	Inadequate financial control Loss of reputation	2	5	10	Tolerate	Receive and review all reports of income received All cash income banked immediate Advise Council at the next meeting of all receipts	Members Clerk Clerk	1	5	5
Failure to account for expenditure properly	Inadequate financial control Loss of reputation	1	5	5	Tolerate	Review annual budget calculation Monthly review of expenditure Inspect and authorise all invoices Periodically review bank reconciliations Maintain adequate analysis of all payments made by category List all payments due at each meeting	Clerk Members Members Chair/Vice Chair Clerk Clerk	1	5	5
Failure to account and recover VAT	HMRC penalties Additional expenses occurred	1	3	3	Treat	Maintain separate records of all VAT paid Submit completed claim to HMRC (quarterly)	Clerk Clerk	1	3	3
Holding excessive or inadequate reserves	Impact on effectiveness	2	4	8	Treat	Calculate anticipated reserves position at the end of each financial year and review for adequacy / appropriateness	Clerk	1	4	4
Failure to complete/submit Annual Return on time	Qualification of Audit	1	4	4	Tolerate	Check and diarise cut-off dates for submission of Annual Return to external auditors Ensure that accounts are prepared in adequate time for submission	Clerk Internal auditor	1	2	2
Failure to achieve/demonstrate best value	Poor use of precept funds Reputation Investigation into use of funds	1	3	3	Tolerate	Follow financial procedures Issue tenders for all major purchases Capture all non-standard spend in minutes of meetings.	Clerk	1	3	3