

Kenwyn Parish Council Risk Register

The Risk Register identifies events or actions would could or would adversely affect the parish council and its ability to achieve its objections and implements its strategies.

An action plan is included to minimise the risk. An assessment of the severity of the risk is also shown.

The Register therefore complies with the four main processes;

- Risk Identification and assessment
- Management and control of risks
- Monitoring and reporting of risks
- Communicating the Risk Strategy

The risks are identified and normally placed within one or more of the following categories:

- Strategic (S) – long term adverse impact from poor decision making or poor implementation.
- Compliance (C) – failure to comply with legislation or laid down procedures or the lack of documentation to prove compliance
- Financial Risk (F) – fraud/corruption
- Operational (O) – failure to deliver services effectively. Damage to property and injury to people

Risk numbers:

Likelihood	4 – Almost Certain	Impact	4 - Catastrophic
	3 – Likely		3 – Major
	2 – Unlikely		2 - Minor
	1 – Rare		1 – Insignificant

Ref	Category	Objective	Risk Discription	Impact Description	Likelihood	Impact	Priority	Controls In Place	Further Action Required	Responsible Officer	2017 Review
Corporate Risks Financial											
1	S	3	Failure to set adequate precept	Council unable to meet financial regulations	1	4	4	Precept for setting precept is detailed and in accordance with best practice	None	Clerk/RFO	Existing procedures adequate
2	S	3	Failure to keep within financial estimates	In extreme cases Council would be managed by Government	2	3	6	Estimate procedure robust. An adequate level of reserves maintained to cater for unforeseen events	None	Clerk/RFO	Existing procedures adequate.
3	C	3	Failure to comply with HMRC Regulations	Fines and Penalties imposed	2	2	4	Provision for expert advice on VAT from NALC. Payroll administered by Clerk/RFO	None	Clerk/RFO	Existing procedures adequate.

4	0	3	Failure to control payments	Unauthorised and or excessive payments	1	3	3	Procedures in place. Three signatories on cheques	None	Clerk/RFO	Existing procedures adequate.
5	0	3	Failure to maintain proper financial records	Breakdown of financial control	1	3	3	Use of computerised system, properly and regularly backed up	None	Clerk/RFO	Existing procedures adequate. Clerk/RFO to continue regular back ups of data.
6	0	3	Loss of revenue through theft by Council Employee or third party	Loss of revenue	1	2	2	Tight controls in place for transactions and income monitoring	None	Clerk/RFO	Existing procedures adequate. Continue with monthly checking by at least two councillors.
7	0	3	Claim of personal or property damage against council	Unbudgeted cost to the council	4	1	4	Local Authority insurance policy in place and the cover reviewed annually	None	Clerk/RFO	Existing procedures adequate.
8	0	3	Building Security	Loss of assets	2	2	4	Alarms in place and employees instructed in their use	None	Clerk/RFO	CCTV to be added to Shortlanesend Village Hall. All other existing

											systems maintained.
9	F	3	Loss of money through failure of bank	Council unable to meet its financial obligations	1	4	4	Deposits to be held with clearing bank in secure money market accounts	None	Clerk/RFO	Parish Council content with current arrangements.
10	F	3	Risk of devolution projects not taking place	Significant monies precepted by the council being placed in reserves	3	3	9	Process being jointly developed by Cornwall Council and parish councils specifying agreed devolution of assets and services and timescales	Continuing work		Ongoing and existing procedures adequate.
11	F	3	Increasing risk of legal actions and crimes against the council	Potential financial losses	2	2	4	Wide ranging insurance liability cover in place on a long term agreement	None	Clerk/RFO	Existing procedures adequate.
Employee											
12	0	3	Loss of key employees	Ensure where possible	2	3	6	Ensure employees maintain	None	Clerk/RFO	Consider plan for loss of key personnel

				work is documented and there is cover				documented records of key processes and duties			
13	0	3	Retention of employees	High turnover, loss of experience, reduction in efficiency	2	3	6	Ensure adequate training, terms of employment are correct, annual assessment to identify any issues	None	Clerk/RFO	Ensure adequate support for employees and training where necessary.
14	0	3	Risk of attack on employees	Across the council there are situations where employees are at risk from attack	3	3	9	Lone working policy to be in place. Written instructions to employees regarding conflict to be put in place	Needs to be done	Clerk/RFO and Council	Existing procedures adequate.
Parks & Open Spaces											
1	0/C	1/6	Injury or attack on employees	Loss of employee. Additional temporary cost	3	2	6	Adequate Health and Safety training. Lone employees have mobile telephones	None	Clerk/RFO	Maintain current arrangements.

								and text Clerk when working and when finished work			
2	O/F	1/6	Loss or damage to buildings/play equipment	Loss of asset and therefore efficiency. Harm to users	4	4	4	Insurance cover in place. Regular monitoring and reporting back on damage, vandalism and flytipping CCTV system in place. Regular liaison with the Police	Ongoing	All staff and all councillors	Maintain current arrangements. Install CCTV for Shortlanesend Village Hall/Playing Field.
Administration											
1	C		Failure to meet Statutory Duty for meetings	Council criticised by government, finally government would step in	1	4	4	Twelve month diary maintained. Written agendas sent to councillors and minutes kept	None	Clerk/RFO	Existing procedures adequate.
2	C		Failure to keep register of interests	Conflict of interests not known	1	3	3	Ensure all councillors are aware of	None	Clerk/RFO	Existing procedures adequate.

								their statutory duties and ensure register is up to date			
3	C		Review of Standing Orders	Legal Compliance	2	3	6	Review Standing Orders annually at least	None	Clerk/RFO	Continue to review at least annually.
Confidentiality											
1	C		Inadequate Data Protection	Security breach of personal or sensitive information	2	2	4	Computer system passworded. Data protection registration in place and maintained. System of back ups in place for computer information	None	Clerk/RFO	Continue current arrangements.