

RYHILL PARISH COUNCIL - RISK REGISTER

Subject	Description	Controls	Likely	Impact	Rating	Actions / Review
Business Continuity	Disruption to daily operations	All files and recent records are kept at the Clerk's home. The Clerk makes regular back-ups of files online and to a hard drive. In the event of the Clerk being indisposed the Chair of RPC will take over duties	1	2	Low	• Alternate place of work available • Regular archiving and cataloguing of documents
Precept	Adequacy of precept	Annual budget to determine precept. Reserves policy to cover future projects / costs and elections	1	3	Med	• Review reserves policy with budget to ensure large expenditure is earmarked in advance
Records (Paper and Digital)	Errors, omissions, loss, damage and theft	Financial Regulations in place. Undertake half-yearly review. Files and IT equipment are stored in alarm protected room.	2	2	Med	• Chair to check half-yearly review • Check for any files stored elsewhere
Banking	Errors, omissions, loss and fraud	Financial Regulations in place. New banking arrangements in place. Monitor bank statements and transactions monthly	1	3	Med	• Switch all transactions to Unity Trust accounts • Report error concerns to next council meeting • Report loss / fraud concerns immediately
Cash	Errors, omissions, loss and fraud	Financial Regulations and Fidelity insurance in place. £50 petty cash float and all cash banked asap	1	1	Low	• Report any concerns immediately • Reduce cash transactions
Reporting and Auditing	Errors and delays in completion of statutory checks and reports	Audit appointments, timeline and AGAR process confirmed at Annual meeting each May. Any issues reported at June meeting.	1	3	Med	• Internal auditor to report concerns • External auditor to report concerns • Ensure all public records are on the website
Purchases	Impropriety in decisions. Failure to secure value for money.	Financial Regulations in place.	1	3	Med	• Value for money and purchase transparency to be reported to council for approval
Grants made	Impropriety in decisions. Failure to secure value for money.	Financial Regulations in place.	1	2	Low	• Value for money and purchase transparency to be reported to council for approval
Grants received	Errors, omissions, loss and fraud. Overreaching capability	Financial Regulations in place. Any grant bids to be agreed by council along with full business case.	1	2	Low	• Full business case and project plan to be reported to council for approval before grant bids submitted • Report any concerns to next council meeting
Budget controls	Errors, omissions, loss and fraud. Overspends, delays and delivery.	Financial Regulations in place. Monitor bank statements and transactions monthly. Regular update reports to council.	1	3	Med	• Regular updates on key projects • Report error concerns to next council meeting • Report loss / fraud concerns immediately

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Staffing	Failure to make statutory declarations and payments. Lone-worker and H&S.	Financial Regulations in place. Monitor bank statements and transactions monthly. Follow new starter procedure. Put Clerk training plan in place. Clerk to be accompanied when on council business with the public. All venues to carry out their own H&S reviews.	1	2	Low	- Clerk to start FILCA / CILCA training - Report concerns to next council meeting - Report issues to Chair as they arise
VAT	Failure to make claim and incorrect receipts.	Financial Regulations in place. Monitor bank statements and transactions monthly. Regular update reports to council.	1	2	Low	- Regular report on claims and payments - Report error concerns to next council meeting - Report loss / fraud concerns immediately
Legal Powers	Ultra Vires acts, s137 limits, no GPC	Power to act checked before decisions are taken and to be reported in meetings if in doubt. s137 transactions recorded in accounts and reported at meetings.	1	3	Med	- List of powers to match budget approvals - s137 to be reported in monthly report on account payments
Insurance	Adequacy, Cost and Proper declarations	Insurance policy to be constantly in place. Cover to be checked at renewal. Declarations to be made as required.	1	3	Med	- Review cover on policy - Make all required declarations - Shop around for best price
Policies	Accurate, up to date, new policies and changing impacts	Policies register checked annually, policies adopted annually. NALC/YLCA updates on new policies, policy changes and impacts.	1	2	Low	- Update policies and register as content changes. - Report changes to next council meeting
Data Protection	Policies and consents for GDPR, FoI, SAR, Website and records	Data policies in place. ICO licence in place. Requirements checked annually and on change via NALC.	1	1	Low	Report any requests / issues to Chair as they arise and to the next council meeting
Assets	Loss, damage, repairs and maintenance	Asset and Insurance register. Regular inspections and repairs as needed. Dynamic risk assessments as appropriate.	1	2	Low	- Update register as content changes. - Ensure regular checks of assets and that repairs are undertaken promptly
Decision Making	Resolution and Minutes evidenced and available	All Agendas to be published in advance. Minutes to be approved at next meeting. All details to be stored on the website.	1	2	Low	- Publish all agendas and minutes statutory reports on the website - Minute book folder
Legal action	Claims made against council	Check with Insurers, NALC and seek legal advice.	1	3	Med	Report issues to council as they arise
Interests	Conflict of interest	DPI forms and Meeting declaration procedures.	1	3	Med	- Complete Declarations and DPIs as required and at the start of every meeting - Publish redacted DPIs on the website