



WOMBOURNE PARISH COUNCIL
RISK REGISTER
2023/2024

Reviewed: March 2024

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Next review date: March 2025

What is Risk Management?

Risk is a threat that an event or action will adversely affect the council's ability to achieve its objectives, implement its strategies and provide its services.

Risk management is the process by which risks are identified, evaluated, addressed, and reviewed. The council recognises that it has a responsibility to take all reasonable and practical measures to safeguard its employees, the people it works with and provides services for; and to protect the natural and built environments for which it is responsible.

The council is aware that some risks cannot be eliminated fully and has in place a strategy that provides a structured, systematic, and focused approach to managing risk and including where necessary, the introduction of internal controls and/or appropriate use of insurance cover.

Objectives

The objectives of the risk management policy are to:

- Integrate risk management into the culture of the council
- Manage risk in accordance with best practice and legislative requirements
- Minimise loss, disruption, injury, and damages
- Inform policy and operational decisions by identifying risks and their likely impact
- Raise awareness of the need for risk management

These objectives will be achieved by:

- Identification of risk
- Undertaking risk assessments
- Managing the risk and recording actions
- Incorporating risk management considerations into council processes

- Providing appropriate training
- Establishing clear roles, responsibilities, and reporting lines
- Effective communication with, and active involvement of, employees

Risk Register

The risk register enables the parish council to assess the risks that it faces and confirm that it has taken appropriate steps to manage those risks.

The council has broken the risks into different areas:

1. Finance
2. Public toilets
3. Play areas
4. Outside workers
5. Civic Centre
6. Governance and management
7. Workplace
8. Accidents and First aid

The risks are identified, described, and evaluated according to the potential consequence of the risk occurring (impact) and how likely this is (likelihood) i.e., high, medium, or low risk. The response to risk may involve one or more of the following responses:

- Tolerate the risk – for the risks where the downside is containable with appropriate contingency plans or if the controls cannot be justified (e.g., because they would be disproportionate, and for unavoidable risks e.g., terrorism)
- Treat the risk – by imposing controls so that the parish council can continue to operate; or setting up prevention techniques
- Transfer the risk – by buying a service from a specialist external body or taking out insurance
- Terminate – the activity giving rise to the risk which involve intolerable tasks or those where no response can bring the risk to a tolerable level

These risks are identified, assessed, and recorded on the following risk register and will be reviewed by the council not less than annually.

Finance				
Topic	Risk	L/M/H	Management / control of risk	Evaluation (Tolerate, treat, transfer, terminate)
Precept	Request not submitted	L	Full Parish Council minutes showing precept request. Reminders sent from South Staffordshire Council. Task on 'to action' board in Clerk's office as a reminder to Assistants in the event Clerk is absent.	Tolerate
	Not paid by District Council	L	General reserved held. Payment via BACS. Task on 'to action' board (twice yearly) in Clerk's office as a reminder to Assistants in the event Clerk is absent.	Tolerate
	Adequacy of precept	M	Clerk provides guidance at budget and precept meeting and level of reserve information given. Members aware of calculation 'expenditure – income = precept'.	Tolerate

			Quarterly review of budgets against income and expenditure.	
Civic Centre income	Cash handling – failure to accurately record / fraud	L	Edge Finance system used. Accounts reconciled monthly. Receipts for cash issued.	Tolerate
	Cash banking – failure to accurately record / fraud	L	Accounts reconciled monthly. Bank reconciliation signed off at Full Council meeting against bank statement.	Tolerate
Reserves – general	Inadequate to cover expenditure	L	Considered at budget setting meeting. Guidance from RFO must be considered. Council to hold at least 3 to 12 months expenditure in general reserves.	Tolerate
Reserves – earmarked	Inadequate to cover expenditure	L	Considered at budget and year end. Guidance from RFO must be considered. Council to plan projects in advance and set funding aside in earmarked reserves.	Tolerate
Assets	Loss, damage etc	M	Insurance in place. Asset register updated and approved annually.	Transfer

Loss	Consequential loss due to critical damage or third-party performance	L	Insurance in place.	Transfer
Cash	Loss through theft or dishonesty	L	References obtained for new members of staff. Financial Regulations in place. Internal audit conducted. Petty cash held to £100 and kept in locked safe.	Tolerate
Maintenance	Wear and tear / damage to assets and amenities / loss of income	L	Regular inspections conducted. Repair work carried out by own in house staff or given to outside contractors.	Tolerate
Borrowing / lending	Adequacy of finances to be able to repay loans	N/A	N/A	N/A
Legal powers	Illegal activity or payment due to legal power not being in place	L	Clerk is CiLCA qualified and Council have adopted General Power of Competence.	Tolerate
Best value	Overspend on services	M	Ensure correct tendering when required. Estimated obtained prior to work being conducted when possible. Financial Regulations in place	Tolerate
Salaries	Wrong salary paid	L	Salaries ran by Assistant to the Clerk and checked by Clerk before inputting	Tolerate

	Wrong rate of pay	L	Salaries approved annually, and input into payroll system.	Tolerate
	Wrong deductions PAYE	L	Payroll system used.	Tolerate
Direct costs and overhead expenses	Goods not supplied to the Parish Council	L	Invoices are not paid until goods are received.	Tolerate
	Invoice incorrectly calculated	L	Arithmetic checked by Assistant to the Clerk when inputting into Edge Finance system. Invoices signed off by two Councillors.	Tolerate
	Cheque / payment made to wrong person	L	Signatory checks by at least two people on cheques and dual authorisation on BACS payments.	Tolerate
Grants and support	General Power of Competence in place	L	Clerk is CiLCA qualified and Council have adopted General Power of Competence.	Tolerate
Election costs	Not covered by budget	H	Budget reviewed annually. Earmarked reserves starting to build up to cover bye-elections only. General reserves available.	Tolerate
VAT irrecoverable	VAT element not recorded on cashbook	M	All items listed in cash book and VAT expenditure reported.	Tolerate

	Not claimed within time limits	M	Assistant to the Clerk processes quarterly. Subject to internal audit.	Tolerate
Financial records	Inadequate records	L	Checked annually plus internal audit. Bank reconciliation signed off monthly at Full Council Meeting.	Tolerate
Minutes	Failure to be accurate and legal	L	Approved by Committee / Full Council	Tolerate
Members interests	Conflict of interest	M	Declaration included on every agenda. Members own responsibility to declare.	Tolerate
RFO / Councillors committing fraud	Parish precept / public funds / reputation of council	L	Financial Regulations and internal audit in operation	Tolerate

Public toilets				
Topic	Risk	L/M/H	Management / control of risk	Evaluation (Tolerate, treat, transfer, terminate)
Access	Trip /slip	M	Toilets are kept closed when there is inclement weather. Toilets are addressed twice daily.	Tolerate
Equipment	Electrical / plumbing failure	L	Toilets addressed twice daily. Repairs conducted when required.	Tolerate
Claim made following accident	Potential claim due to negligence	L	Insurance cover in place.	Transfer
Lone worker assault	Assault on attendant	L	Personal alarm given. Lone worker policy in place. Toilets in central location in village.	Tolerate
Fire and accidents	Fire and accidents	L	Chemicals and cleaning fluids in locked room. Attendant wears PPE.	Tolerate
Vandalism	Damage to facilities	M	Toilets locked each night. Toilets visited twice a day by attendant. Repairs conducted as soon as possible.	Tolerate

Structure of building	Falling debris on staff / public	L	Toilets visited twice a day by attendant. Repairs conducted as soon as possible.	Tolerate
Play Areas				
Topic	Risk	L/M/H	Management / control of risk	Evaluation (Tolerate, treat, transfer, terminate)
Access	Trip /slip	L	Suitable surfaces used. Play areas visited regularly by wardens and any issues reported / dealt with quickly.	Tolerate
Equipment	Injury from equipment	L	Regular checks conducted by own staff. Quarterly and annual safety inspections carried out. Insurance cover in place.	Tolerate
Claim made following accident	Potential claim due to negligence	L	Regular checks conducted by own staff. Quarterly and annual safety inspections carried out. Insurance cover in place.	Transfer
Lone worker assault	Assault on attendant	L	Personal alarm given. Lone worker policy in place.	Tolerate
Vandalism	Damage to facilities	M	Parks and play areas locked at night. Regular inspections conducted.	Tolerate

Outside workers				
Topic	Risk	L/M/H	Management / control of risk	Evaluation (Tolerate, treat, transfer, terminate)
Toxocariasis	Infection	M	Rubber gloves worn and litter pickers used.	Tolerate
Needles drug paraphernalia / HIV / infection	Infection when disposing of item	M	Any paraphernalia found reported to the Clerk. Sharps bin available.	Tolerate
Litter / broken glass	Cuts / infection	M	Remove and dispose by sweeping up and using thick gloves / litter picker	Tolerate
Accidents	Any accident to staff	L	PPE worn. Insurance cover in place.	Transfer
Assault	Assault on staff	L	Personal alarms issued. Lone worker policy in place. Insurance cover in place. Hatch in foyer to deal with visitors.	Transfer

Civic Centre				
Topic	Risk	L/M/H	Management / control of risk	Evaluation (Tolerate, treat, transfer, terminate)
Access	Trip /slip	L	Disabled ramps into the building / flat entrance to front. Salt put down in snowy /icy weather. Wet floor signs used when floor is wet.	Tolerate
Equipment	Injury from equipment Fire caused by faulty equipment	L	Electrical equipment is PAT tested. Insurance in place.	Tolerate
Dangerous substances	Dangerous cleaning materials	L	COSHH information obtained. Cleaning products kept in locked room with limited access. Door labelled as containing hazardous substances.	Tolerate
Structure of building and car park	Injury /damage	L	Exterior building checked regularly by Superintendent.	Tolerate

Car park	Trips /slips	L	Inspected regularly by Superintendent. Any issues, car park is closed off. White lining kept up to date.	Tolerate
Trees	Being struck by fallen branches	M	Tree inspections conducted and funding in budget to deal with any urgent matters.	
Fire equipment	Failure of equipment /emergency lights	L	Fire alarm, emergency lighting and fire extinguishers serviced by Kingswinford Fire Protection.	
Fire	Fire	L	Fire instructions given to all hirers. Designated fire meeting point labelled at front of the building. Weekly fire alarm checks. Systems inspected by Kingswinford Fire Protection. Fire Risk Assessment conducted.	
Medical emergency	Severe illness	M	First aid kits available. Telephones available to call 999 Superintendents are first aid trained. Defibrillator outside Boxleys.	

Governance and Management				
Topic	Risk	L/M/H	Management / control of risk	Evaluation (Tolerate, treat, transfer, terminate)
Lack of forward planning and budgetary controls	Lack of direction and prioritisation; insufficient funds	L	Budget in operation and reviewed regularly. Council to consider implementing set goals, and reviewing budget at half year.	Tolerate
Poor reporting to council	Poor quality decision making. Council becomes ill informed.	L	Timely and accurate financial reporting. Quarterly report given to Finance and General Purposes Committee.	Tolerate
Failure to keep proper financial records in accordance with statutory requirements	Inadequate financial control	L	Review of internal controls in place. Internal auditor visits annually.	Tolerate
Failure to respond to electors' wish to right of inspection	Loss of confidence and reputation	L	Operating protocols set by Government and external auditor	Tolerate

Poor document control	Information not passed on in a timely manner / deadlines missed / lack of achievement	L	Council to consider implementing set goals	Tolerate
Failure to ensure that the council complies with the law, in particular: Health and safety Equal opportunities Data Protection Human rights Disability discrimination Employment law	Fines and penalties from regulatory bodies / loss of reputation	L	Policies in place, and reviewed regularly Training in place for staff and members	Tolerate
Council lacks relevant skills and commitment	Council fails to achieve its purpose / poor value for precept	L	Training is available for Members.	Tolerate
Councils becomes dominated by one or a few individuals	Conflicts of interest / pursuit of personal agendas / decisions made outside of the council meetings	L	Clear Standing Orders regarding conduct of meetings. Voting in place. Motions have to be passed by majority.	Tolerate
Councillors benefitting from being on the council	Affects reputation / conflicts of interest	L	Clear Standing Orders. Code of Conduct in place.	Tolerate
Failure to use grants for intended purposes	Lack of funding	L	Clear minutes. Funds can be ringfenced. Clear financial procedures. Edge Finance system used. Quarterly reporting to the council.	Tolerate

Loss of records	Inability to conduct functions / loss of historical records	L	Document retention policy in place	Tolerate
Cyber security	Loss of sensitive information	L	Cloud used. Paid anti-virus software used. Full firewalls in place.	Tolerate

Workplace				
Topic	Risk	L/M/H	Management / control of risk	Evaluation (Tolerate, treat, transfer, terminate)
Workstation	Repetitive strain injury / eye damage	L	Laptop screens free from defects. Keypad adequate. No glare. Footrest available. Council to consider paying for staff eye tests every 2 years in line with industry standards.	Tolerate
Accident occurring in the office	Injury	L	Regular checks conducted by own staff. PAT testing. First aid equipment available. Insurance cover in place.	Tolerate
Assault	Assault to member of staff	M	New entrance set up in place with hatch and screens to watch CCTV in both entrances. Personal	Tolerate

			alarm available. Insurance in place.	
Fire	Fire	L	Fire precautions and equipment provided, including fire alarm.	Tolerate

Accidents and First Aid				
Topic	Risk	L/M/H	Management / control of risk	Evaluation (Tolerate, treat, transfer, terminate)
Accident	All areas under the responsibility of the Parish Council	M	Risk assessments put into place. Regular inspections conducted.	Tolerate
Claim against the council	Council's reputation / financial responsibility	L	Risk assessments in place. Insurance cover in place.	Tolerate
First aid	Accident or injury	L	First aid kits available at Civic Centre. Superintendents first aid trainer. Defibrillator outside Boxleys.	Tolerate