

# FISKERTON CUM MORTON PARISH COUNCIL

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## RISK MANAGEMENT POLICY & RISK REGISTER

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### 1. Statement

The Council accepts its responsibility for risk management, appropriate to its scale and operations, and taking account of best practice as embodied in 'Governance and Accountability in Local Councils in England and Wales, a Practitioner's Guide'.

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.

### 2. 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

### 3. 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

### 4. Risk Register

The risk register enables the 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 two areas: Finance and Governance & Management

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## 5. Evaluation of the Risk

Risks are evaluated on a matrix that considers the **likelihood** and **consequences**.

<b>Likelihood</b>	1 Unlikely	2 Possible	3 Likely
<b>Consequence</b>			
3 Major	3	6	9
2 Moderate	2	4	6
1 Negligible	1	2	3

## 6. Risk Severity Calculation

Risk severity is calculated by multiplying **Consequence** x **Likelihood**. and **Risk Severity** outcome is defined as follows:

<b>Score (CxL)</b>	1 - 3	4 - 6	9
<b>Risk Severity</b>	Low [L]	Moderate [M]	High [H]

## 7. Response

The severity of identified risks might 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 council can continue to operate; or by 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 (or not start) which involve intolerable tasks or those where no response can bring the risk to a tolerable level.

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## Fiskerton cum Morton Risk Register

### 1. Finance

Topic	Risk	Risk			Management/control of risk	Revised Risk		
		C	L			C	L	
<b>1.1 Precept</b>	a) Request not submitted.	3	L	1	Full Council minute showing complete precept.	1	L	1
	b) Not paid by District Council	3	L	1	Checked and reported to Full Council. Reserves held.	1	L	1
	c) Adequacy of precept	3	M	2	Review of income & expenditure against budget at every Full Council meeting Maintain adequate general reserves	1	L	1
	d) Income below budget	3	M	2	Reviewed and reported to Council. Maintain adequate general reserves	2	L	1
<b>1.2 Grants, CIL and S106</b>	a) Not received as expected	1	L	3	RFO check & report to Full Council Not to commit expenditure until receipt of funds	1	L	1
<b>1.3 Investment Income</b>	a) Loss of surplus funds due to bad investments	3	M	2	Policy reviewed annually.	2	L	1
<b>1.4 Reserves – General</b>	a) Inadequate to cover possible unbudgeted expenditure	3	M	2	Considered at Budget setting and quarterly Council meetings. Opinion of RFO also considered.	2	M	2
<b>1.5 Reserves – Earmarked</b>	a) Inadequate to cover possible expenditure	3	M	2	Considered at Budget and at year end. Opinion of RFO sought.	2	L	1

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Topic Finance (contd.)	Risk	Risk			Management/control of risk	Revised Risk		
		C	M	L		C	M	L
<b>1.6 Assets</b>	a) Loss, Damage etc.	3	M	2	Quarterly inspections, insurance in force and sums insured checked annually. Asset register updated annually – internal audit	1	L	2
	b) Risk or damage to third party property or individuals	2	M	2	Adequacy of Public Liability Insurance reviewed annually.	1	L	2
<b>1.7 Loss</b>	a) Consequential loss due to critical damage or third-party performance	2	M	2	Adequacy of insurance cover reviewed annually.	1	L	2
<b>1.8 Cash</b>	a) Loss through theft or dishonesty	1	L	1	Financial regulations and internal audit procedures in operation. NOTE the Council does not generally deal with cash.	1	L	1
<b>1.9 Maintenance</b>	a) Wear and Tear/Damage to assets/amenities.	2	M	3	Regular inspections made by Councillors and Clerk and reported to Council. Reports from residents followed up by Clerk.	2	L	1
<b>1.10 Borrowing/lending</b>	a) Adequacy of finances to be able to repay loans	2	L	1	Financial review and cashflow quarterly forecasting. NOTE the Council currently has no borrowings or lendings.	1	L	1
<b>1.11 Legal Powers</b>	a) Illegal activity or payment	3	M	2	Power to spend stated in minutes. Council informed as to legal powers. Clerk attends relevant training.	3	M	1
<b>1.12 Best Value</b>	a) Overspend on services	2	L	1	Ensure correct tendering for services in accordance with Standing Orders.	1	L	1

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Topic Finance (contd.)	Risk	Risk			Management/control of risk	Revised Risk		
		C	L			C	L	
<b>1.13 Salaries</b>	a) Wrong salary paid	2	L	1	Payroll company engaged. Verified by internal auditor	1	L	1
	b) Wrong rate of pay	2	L	1	Payroll company engaged. Verified by internal auditor	1	L	1
	c) Wrong deductions PAYE	2	L	1	Payroll company engaged. Checked to PAYE Calculations.	1	L	1
	d) Information sent by email to and from payroll company in intercepted	2	M	2	Encrypt all emails containing personal information.	1	L	1
	e) False employee	2	L	1	Checked to PAYE Records & lists. Verified by internal auditor	1	L	1
<b>1.14 Direct Costs and overhead expenses</b>	a) Goods not supplied to Council	1	L	1	Clerk confirms, Member verifies, Recovery of any money tendered	1	L	1
	b) Invoice incorrectly calculated	1	L	2	Arithmetic checked by Clerk; invoice examined by two councillors.	1	L	1
	c) Cheque/payment payable	2	L	1	Invoice/payment authorised by 2 councillors. Submitted for approval to the Council. NOTE the Council does not hold cheque books	2	L	1
	d) Cheque/payment made to wrong party	2	M	2	Signatory checks by 2 councillors. Bacs payments authorised buy 2 councillors. NOTE the Council does not hold cheque books	2	L	1
<b>1.15 Grants &amp; Support</b>	a) No agreement of Council to pay	2	M	2	All grant approvals to be minuted at Full Council Meetings.	1	L	1

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	No conditions agreed/unreasonable conditions	3	M	2	Conditions checked by RFO and to be agreed in advance of any payments.	2	L	1
Topic Finance (contd.)	Risk	Risk			Management/control of risk	Revised Risk		
		C		L		C	L	
<b>1.16 Election Costs</b>	a) Estimate only given by NSDC – Late submission of District Council invoice therefore cost not fully covered by budget	2	M	3	Full Council to approve annual budget to consider a transfer to an election reserve.	1	L	3
<b>1.17 VAT irrecoverable</b>	a) VAT element not recorded	1	L	2	All items verified by internal audit.	1	L	1
	b) Exemption doesn't apply	1	L	2	RFO verifies.	1	L	1
	c) Not claimed within time limits	2	M	2	Reported to Full Council – minute. Verified by internal auditor	1	L	1
<b>1.18 Financial and Council Records</b>	a) Inadequate records	3	M	2	Checked annually.	1	L	2
<b>1.19 Minutes</b>	a) Failure to be accurate and legal	3	M	2	Reviewed by Council at following meeting.	1	L	2
<b>1.20 Members interests</b>	a) Conflict of interest	3	M	2	Declarations of interest updated at each Council meeting with reminder note printed on agenda.	1	L	1
<b>1.21 RFO/Councillors committing fraud</b>	a) Public funds b) Reputation of Council	3	M	2	Finance Regs and internal audits, internal processes and reviews. Segregation of duties.	3	L	1
<b>1.22 Loss of money at bank</b>	a) Public funds	1	L	1	Financial Services Compensation Scheme covers up to <b>£85,000</b> per authorised bank or building society	1	L	1

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## 2. Governance and Management

Topic	Risk	Risk			Management/control of risk	Revised Risk		
		C	M	L		C	L	L
<b>2.1 Lack of forward planning and budgetary controls</b>	a) Lack of direction and prioritisation; insufficient funds to cover spend	3	M	2	Budget in operation and regularly reviewed.	3	L	1
<b>2.2 Poor reporting to council</b>	a) Poor quality decision making b) Council becomes ill informed	3	M	2	Timely and accurate financial reporting. Clear instructions to staff. Matter raised at meeting	3	L	1
<b>2.3 Failure to keep proper financial records in accordance with statutory requirements</b>	a) Inadequate financial control	3	M	2	Proper arrangements for the notification of income and approval of expenditure. Review of internal controls in place and their documentation by Internal auditor.	3	L	1
<b>2.4 Failure to respond to electors' wish to right of inspection</b>	a) Loss of confidence. b) Loss of reputation	3	L	1	Operating protocols set by external auditor.	3	L	1
<b>2.5 Poor document control</b>	a) Information not passed on in a timely manner. b) Deadlines missed, c) Lack of achievement	3	M	2	Clear job descriptions	3	L	1
<b>2.6 Failure to ensure that the Council complies with law in particular: *Health and Safety *Equal Opportunities *Data Protection *Human Rights *Disability Discrimination *Employment Law *Racial Discrimination</b>	a) Fines and Penalties from regulation bodies  b) Loss of reputation	3	M	2	Policies and procedures kept updated and reviewed annually by Council.  Regular review of law.  Training and Induction carried out	3	L	1

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Topic Gov & Management (contd)	Risk	Risk			Management/control of risk	Revised Risk		
		C		L		C	L	L
<b>2.7 Failure of the provision of services being carried out under agency/partner agreements with principal authorities</b>	a) Loss of reputation	3	M	2	Clear service level agreements.	3	L	1
	b) Poor public image				Review of adequacy of insurance cover provided by suppliers			
<b>2.8 Failing to ensure that all business activities are within legal power</b>	a) Illegal expenditure	3	M	2	Recording in the minutes any unusual expenditure through the formal payments approval process.	3	L	1
<b>2.9 Failure to provide proper, timely and accurate reporting of Council business in the minutes.</b>	a) Confusion and misunderstandings	3	M	2	Draft Minutes published within 5 working days after the meeting wherever possible. Approval by Council.	3	L	1
	b) Actions not reflecting the intentions of Council				Minutes properly numbered. Master copy kept in safekeeping			
<b>2.10 Failure to meet the laid down timetables when responding to consultation invitation</b>	a) Affect reputation.	2	M	2	Agenda to state closing date for responses.	2	L	1
	b) Ineffectual involvement				Extraordinary Meetings called and/or delegated procedures in place			
<b>2.11 Council lacks relevant skills and commitment.</b>	a) Council fails to achieve its purpose.	2	M	2	Training for Councillors	2	L	1
	b) Decision making bypasses Council.				Close review of attendance			
	c) Poor value for precept income.							
<b>2.12 Council becomes dominated by one or two individuals.</b>	a) Conflicts of interest.	3	M	2	Clear Standing Orders regarding conduct of meeting and conflict of interests	3	L	1
	b) Pursuit of personal agendas.							
	c) Decisions made outside Council Meetings							



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Topic Gov & Management (contd)	Risk	Risk			Management/control of risk	Revised Risk		
		C		L		C	L	L
<b>2.13 Councillors benefiting from being on the Council</b>	a) Affect reputation. b) Conflicts of Interest	3	M	2	Clear Standing Orders Code of Conduct and Standard guidance issued to all members.	3	L	1
<b>2.14 Failure to register Members' interest, gifts etc</b>	a) Member could make inappropriate gains. b) Could affect reputations	3	M	2	Procedures in place for recording and monitoring Members' interests and gifts	3	L	1
<b>2.15 Lack of maintenance of Council owned land or property</b>	a) High cost of repair. b) Injury to third-party leading to claims. c) Damage to property.	3	M	2	Regular routine inspections (including trees).  Maintenance when required. Insurance cover	3	L	1
<b>2.16 Damage or loss to Council owned property</b>	a) High cost of repair	3	M	2	Insurance cover. Police report or damage report	3	L	1
<b>2.17 Legal liability as a consequence of asset ownership</b>	a) Damage to public property or person	3	H	3	Public Liability Insurance Cover	1	L	3
<b>2.18 Damage to third party property or individual due to service or amenity provided</b>	a) Claim against Council	3	H	3	Public Liability Insurance Cover  Comprehensive event planning. Regular checks of facilities. Ensure all amenities/facilities are maintained to appropriate level	1	L	3

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Topic Gov & Management (contd)	Risk	Risk			Management/control of risk	Revised Risk		
		C	L	L		C	L	L
<b>2.19 Loss of records</b>	a) Services not provided. b) Inability to carry out functions. c) Loss of historical records (irreplaceable) d) IT passwords	3	H	3	Digitisation of important documentation Ensure regular backups are undertaken and copied to cloud storage. Passwords held securely and	3	L	1
<b>2.20 Cyber Security</b>	a) Loss of sensitive information b) Loss of funds c) Lack of confidence in the Council. d) Disruption of services	3	H	3	Use a good quality paid for Anti-virus. Full firewalls in place. Encryption on the hard drives in place, to prevent access if the computers are stolen . Offsite data back-up. (Off site to include “the cloud”) Regular and disciplined password control review.	3	L	1
<b>2.21 Safeguarding – Assault/injury Failure of the Council to take reasonable steps to ensure anyone carrying out duties for or on its behalf is adequately safeguarded. This includes not placing any such person in a potentially vulnerable position.</b>	a) Injury/assault on a member staff or councillor	3	H	3	Site meetings to be carried out by any Councillor to be notified to the Clerk in advance and accompanied where possible.	3	M	2

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## 1. Workplace including Bullying and Sexual Harassment

Topic Workplace including Bullying and Sexual Harassment	Risk	Risk			Management/control of risk	Revised Risk		
		C		L		C		L
<b>3.1 Workstation</b>	a) Repetitive strain injury  b) Eye damage/VDU Screen	2	L	2	Computer screen free from defects. Keyboard adequate. Good lighting. No glare. Adjustable chair, footrest. Staff self- assessment. Eye test every 2 years.	2	L	1
<b>3.2 Inappropriate Comments or Jokes</b>	Risk of inappropriate comments or jokes made by elected officials, employees, or public attendees that could be perceived as harassment.	3	L	2	Anti-harassment policy applied to all parties. Code of conduct includes respectful behaviour standards. Complaint and reporting procedure in place. Reports can be made verbally and will be kept confidential where possible.			
<b>3.3 Unwanted Physical Contact</b>	Risk of unwanted physical contact by councillors, employees, or members of the public during meetings or events.	2	L	2	Code of conduct prohibits unwelcome physical contact. – Training on maintaining personal boundaries provided Complaint system accessible to all parties. Monitor and document incidents as reported.			
<b>3.4 Misuse of Power Dynamics</b>	Risk of elected officials or employees using positions of authority to exert undue influence or engage in inappropriate behaviour.	3	M	2	Clear hierarchy and defined reporting structures. Training to cover power dynamics and boundaries. Complaint and reporting procedure in place.			
<b>3.5 Inappropriate Digital Communication</b>	Risk of harassing or inappropriate messages sent via council-owned email, social media, or digital channels by or to employees, councillors, or members of the public.	3	M	2	Established guidelines for digital communication. Staff and councillors are given a copy of the Social Media and Communications Policy. Social Media Policy agreed by Full Council and distributed to all Councillors. Social Media Policy published on the website			

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Topic Workplace including Bullying and Sexual Harassment	Risk	Risk			Management/control of risk	Revised Risk		
		C		L		C	L	L
<b>3.6 Retaliation or Intimidation Post Complaint</b>	Risk of retaliation against individuals (employees, Councillors, or public) following a harassment complaint.	2	M	2	Retaliation is strictly prohibited and will result in disciplinary action, up to and including termination. Engage local law enforcement if repeated intimidation occurs.	2	L	1
<b>3.7 Failure to Address Complaints Properly</b>	Risk of mishandling complaints involving Councillors, employees, or the public, potentially leading to legal or reputational consequences.	3	M	2	See Complaints Procedure & Disciplinary Procedure Complaint handling processes to be regularly reviewed and updated in line with current legislation and best practice.	2	L	1
<b>3.8 Inadequate Knowledge of Sexual Harassment Policies</b>	Risk that Councillors, employees, or public attendees do not fully understand what constitutes sexual harassment	3	M	2	Anti-Bullying and Sexual Harassment Policy, Code of Conduct, Equality & Diversity policies disseminated to all staff and councillors. Policies published on the council website.	2	L ;	1
<b>3.9 Public Misconduct Towards Elected officials and Staff</b>	Risk of harassment by members of the public towards Councillors or employees during public events or meetings.	2	M	2	Clear behavioural expectations for public attendees. Consider a Protocol on Public Participation in meetings published on website and emailed to all registered speakers Complaint system open to elected officials, staff, and public attendees.	2	L	1