

THE IVERS PARISH COUNCIL

RISK REGISTER – CORPORATE RISKS
 (TO BE CONSIDERED BY COUNCIL 2 NOVEMBER 2020)

1. Risk Matrix used

		Consequence				
		Negligible 1	Minor 2	Moderate 3	Major 4	Catastrophic 5
Likelihood	5 Almost certain	Moderate 5	High 10	Extreme 15	Extreme 20	Extreme 25
	4 Likely	Moderate 4	High 8	High 12	Extreme 16	Extreme 20
	3 Possible	Low 3	Moderate 6	High 9	High 12	Extreme 15
	2 Unlikely	Low 2	Moderate 4	Moderate 6	High 8	High 10
	1 Rare	Low 1	Low 2	Low 3	Moderate 4	Moderate 5

2. Corporate Risks

1 Risk Register

No.	Risk	Nature of hazard	Current controls	Risk score	Proposed further actions	Target date
1	Computer Virus, disruption to service, reconstruction of financial records	Financial and non compliance	Finance data is held and accessed remotely. Anti-virus software installed and firewalls in place. Regular scans undertaken. Portable IT provided and staff able to work remotely. IT providers remotely back up data. No data held on computers and laptops. Hardware insured. On call IT support contracted.	4	Review of IT systems to be undertaken	31 March 2020
2	Break in to office	Financial, service disruption, non covid secure	Staff are able to work remotely and utilise VOIP. Contract cleaners available. Insurance of office contents maintained. Building alarmed	4	Call out system to be implemented	
3	Banking failure	Financial	Investment policy in place. Precept arrives in two instalments.	4	Option agreed to transfer to Unity Bank if required	
4	Parish Council maintained trees cause harm to persons and/or damage to buildings	Financial	Tree management work is undertaken. Public liability insurance held	4	Tree Management strategy to be developed with 5 year inspection regime implemented with annual inspections for higher risk trees.	31 March 2021

No.	Risk	Nature of hazard	Current controls	Risk score	Proposed further actions	Target date
5	Harm to person occurring in play area	Financial and reputation	Grounds team RoSPA trained for play area inspections that are undertaken Monday to Friday (not Public holidays). Damaged or unsafe equipment is removed or isolated. RoSPA undertake annual surveys. All equipment complies with British and European Safety standards	4	Play area inspections to be increased to include Saturdays and Sunday and most Public Holidays. Bespoke inspection reports to be developed for each play area	31 March 2021 31 December 2020
6	Out of hours emergency	Financial and reputation	There is no out of hours cover. Council is reliant on member of public contacting local councillor	4	Councillors to develop councillor cover for out of hours emergencies. Additional grounds team work on Saturdays and Sundays can run checks of buildings as well as play areas.	31 December 2020
7	Chequers Orchard damage to tenants building	Financial	Building is insured to re-instatement value	4	Review insurance cover to ensure cover for loss of income	31 March 2021
8	Assault on staff	Financial and reputation	Reception has been adjusted to segregate staff and callers. Internal access doors are coded. Back door has coded lock. Training undertaken as required on dealing with difficult customers and situations. Insurance cover is reviewed annually.	3		
9	Loss of hard copy records	Financial and non-compliance	Fireproof storage is used for land ownership documents and burial records. 10 years of minutes to be kept on site with other years backed up electronically. Council land holdings registered with Land Registry	3	Land registry checks to be undertaken. Play area inspections to be maintained for 21 years in fireproof safe	31 March 2021 31 December 2020

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10	Embezzlement by staff	Financial	Standing Orders and Financial Regulations reviewed as required. All payments authorised by two councillors in a back office function and by a councillor for bank payments. £100 petty cash float maintained. Annual review of governance undertaken	3	Banking arrangements have recently been updated with input followed by single authorisation. Performance of banking arrangements being monitored and council may change to Unity Banking	ongoing
11	Loss of all records	Financial and non-compliance	Council operates back up systems through a third party contractor. If that system fails there is minimal paper records and the Council's website records	3	New lockable paper records system being implemented	ongoing
12	Destruction of workshops and/or garages	Financial and service disruption	Insurance for buildings reinstatement and machinery carried	3	Business Continuity Plan to be developed and implemented	2021
13	Loss of finance administrator	Financial	Clerk able to input	3	New Council specific finance system and position of Deputy Clerk will provide resilience	31 Dec 2021
14	Loss of Clerk	Financial, reputational and non compliance	Locum to be sourced	3	Position of Deputy Clerk will provide resilience	31 Dec 2020
15	Loss of Grounds Team	Financial, reputational and non-compliance	External contractor to be sourced	3	Business continuity plan developed and in place for Covid related absences. Reviewed as required by legislation/guidance changes	ongoing

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16	Destruction of 45B High Street	Financial	Insurance carried for reinstatement and contents	3	Business continuity plan to be reviewed	31 March 2021
17	Inetex cease operating	Financial		3	Business continuity to be included within IT review	31 March 2021
18	Injury to councillors whilst carrying out their role	Financial	Insurance cover carried under Group Personal Accident Cover	2		
19	Public injury in council building	Financial and reputational	All required safety certificates in place and inspections up to date. Fire alarm testing undertaken. Repairs undertaken in a timely manner. Defects reporting process implemented. Public liability insurance cover in place	2	Covid secure buildings processes in place and adjusted as required. Review of risk assessments being undertaken	Ongoing Ongoing
20	Late payment of precept	Financial and reputational	Reserves maintained at about 40% of precept	2		
21	Security of unattended buildings	Financial and service disruption	Alarms (fire and entry) fitted in most buildings. CTV fitted to 3 sites	2	Iver Heath systems being reviewed with intention to upgrade Councillor call out system being developed and neighbours informed	31 March 2020
22	Incorrect accounting for VAT	Financial	Claim made by finance administrator manually constructed	2	New accounting system to auto generate VAT claim	31 Dec 2020
23	Purchasing	Financial	Standing Orders and Financial Regulations regularly reviewed. All processes followed.	2	New accounts system to electronically file purchase orders	31 Dec 2020
24	Public injury in Open Space	Financial and reputational	Areas inspected and litter picked at nominated timeframes. Repairs undertaken in a timely manner. Defects reporting process implemented. Public liability insurance cover in place	2	High use areas to be inspected Saturday and Sunday	31 March 2020

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25	Insurance Cover inappropriate	Financial	Insurance schedules placed before Committee annually for review and agreement. Asset register updated annually	2	Committee currently considering revised reinstatement and cover upgrades	31 Dec 2020
26	External Contractors	Financial		2	Procedures for Contractors to be introduced to include Covid security	31 March 2020
27	Total destruction of community use Buildings	Financial	Insurance cover is reviewed annually including level of loss of income.	2	Continuity Plans to be developed	2021
28	Theft from workshops, garages and vehicles	Financial and service disruption	Insurance cover is reviewed annually including level of loss of income provision. Workshop alarmed and workshop and Iver Heath garage/store covered by CCTV.	2	CCTV upgrades being considered. Call out being developed for alarm activation.	31 March 2021
29	Loss of outside staff	Financial and service disruption	External contractors to be sources	2	Business continuity plan for covid developed and in place	Ongoing
30	Loss of office staff and clerks	Financial and service disruption	Temporary staff to be utilised/locum clerks	2	Business continuity plan for covid developed and in place.	Ongoing
31	Tendering errors	Financial	Standing Orders and Financial Regulations are reviewed regularly. All tenders specs and processes are resolved by appropriate Committee/Council	1		
32	Government introduces precept capping for parishes	Financial	Expenditure and income is reviewed regularly with quarterly reports made available to Committees and Council. Budgets reviewed annually. Clerk monitors precepting changes.	1	Income streams to be developed	Ongoing

No.	Risk	Nature of hazard	Current controls	Risk score	Proposed further actions	Target date
33	Reduction in income	Financial	Charges are reviewed annually and insurance cover maintained for emergency related loss of income	1	Currently awaiting Appeal Court decision re loss of income related to pandemic	ongoing
34	Councillor propriety	Financial	Register of Interests completed and councillors offered	1	Ongoing training to be provided	2021
35	Unable to fill vacancies for councillors	Service disruption	All election processes followed with co-options offered. Bucks to appoint cllrs from Bucks if Council becomes inquorate	1		
36	Theft of cash from safe	Financial	Petty cash float maintained at £100. Banking undertaken regularly. Building secured, alarmed and safe keys also secured.	1		
37	Inadequate budget set	Financial	Forward planning and budget reviewed annually with reserves maintained as advised	1		