

**STOKE MANDEVILLE PARISH COUNCIL
RISK REGISTER AND ASSESSMENT**

February 2021

Risk Ref.	Level 1 Risk Category	Level 2 Risk Category	Risk Description (The risk of <uncertain event> due to <cause(s) of the risk> resulting in <consequence(s) of the risk>)	Risk owner	Description of Current Controls/Actions (in place and effective)	Residual Risk Score		Risk Rating	Material Risk	Emerging Risk			Further Actions Needed	
						Impact	Likelihood			Flag	Proximity	Status	Description of Further Mitigation / Actions (Planned / underway)	Due Date
FIN1	FINANCIAL		Lack of funds due to inadequate financial planning leading to inability to achieve objectives (either normal day-to-day service or completion of projects)	F&G	To determine the amount of precept required by the Parish Council annually, a full budget review is undertaken. The Parish Council maintains reserves of 50% of the precept in accordance with its Reserves policy. Reserves policy reviewed December 2020 Current reserves approx 100% of precept	High	Remote	Green	Yes	No			Review reserves if these fell towards level of 25% of precept	Ongoing
FIN2	FINANCIAL		Financial irregularities due to failure to follow regulations resulting in bad publicity and inability to meet objectives	Clerk	The Parish Council has Financial Regulations in place which were last reviewed in June 2020 An internal audit and external audit is conducted annually on the financial records. Results are presented to the Parish Council and are available for inspection from the Clerk	Medium	Low	Green	No	No			No further actions planned	n/a
FIN3	FINANCIAL		Financial losses due to inadequate controls leading to bad publicity and inability to achieve objectives	F&G	The Parish Council has three bank accounts - a Treasurer's account, Reserve account and a Clerk's Imprest account The Clerk pays all monies received into the Treasurer's account. All payments are made electronically using a two-stage process with independent authorisation by a pre-selected group of Councillors Chairman added as additional authoriser All invoices, statements and bank details are kept in the Parish office and are reviewed when payments are made The Clerk undertakes bank reconciliations and provides a report to Councillors monthly which is currently reviewed by the full PC monthly The Clerk's Imprest account has a maximum limit of £300. It is reconciled monthly and signed off by the Chairman of the Finance & Governance Committee	High	Low	Amber	Yes	No			Consider moving reconciliation review to F&G committee	01/07/2021
FIN4	FINANCIAL		Loss of cash through theft or dishonesty leading to bad publicity	F&G	No petty cash system in operation, this negating the risk, however Money cover is part of mandatory insurance	Low	Remote	Green	No	No			No further actions planned	n/a
FIN5	FINANCIAL		Loss of VAT refunds due to poor record-keeping or failure to meet deadlines, leading to financial loss	Clerk	The Clerk analyses any VAT charged on purchases within the accounting spreadsheets and maintains all VAT receipts within Parish Council records The Clerk produces a VAT refund analysis annually and makes a claim to HM Revenue & Customs for recovery of the amounts	Medium	Low	Green	No	No			No further actions planned	n/a
FIN6	FINANCIAL		Financial loss due to inadequate or inappropriate insurance cover	Clerk	An annual review is undertaken (at the time of the policy renewal) of all insurance arrangements in place Insurance renewal documents to be emailed to Councillors each year New Councillors to be provided with information about the policy	Medium	Low	Green	No	No			Ensure annual activities are undertaken	Ongoing
FIN7	FINANCIAL		Financial loss due to an unexpected major event leading to inability to meet objectives	F&G	Insurance cover in place for asset damage / loss Grant application would be made to the Stoke Mandeville and Other Parishes Charity or other funding source Reserves kept for unexpected expenses No impact experienced from Covid to date Reserves policy reviewed December 2020	High	Remote	Green	No	No			Review reserves if these fell towards level of 25% of precept	Ongoing
OPS1	OPERATIONS		Loss of paper records through theft / fire / damage leading to difficulty in maintaining Parish Council operations	Clerk	The Parish Council official records and papers are stored within a locked filing cabinet in a locked office. Deeds and other legal documents are kept in a fire safe	Medium	Low	Green	No	No			No further actions planned	n/a
OPS2	OPERATIONS		Loss of electronic records through theft / fire / damage / corruption of files leading to difficulty in maintaining Parish Council operations, or failure of IT systems	Clerk	The Parish Council's electronic records are stored on the Parish Council's PC, which is password protected Backups are taken monthly and stored offsite Anti-virus software is in place and kept up to date Cloud-based services and use of Teams / roll-out of PCs to Councillors mitigates risk. Maintenance and support contract in place with IT provider	Medium	Low	Green	No	No			No further actions planned	n/a
OPS3	OPERATIONS		Risks arising from meeting locations being inadequate or unsuitable from a Health and Safety perspective	Clerk/Councillors	The majority of physical meetings take place at the Community Centre, Eskdale Road, which has rooms of varying size suitable for the needs of the Council The premises and the facilities are considered to be adequate for the staff, councillors and public who attend from Health and Safety and comfort aspects As regards snow and ice, Clerk to monitor salt supplies at the Community Centre which are available to all. Councillors to monitor salt supplies at Hawkstade and Ligo Avenue. There is a first aid kit in the Community Centre office	Medium	Medium	Amber	Yes	Yes	Increasing proximity		Need to review in the light of COVID-19 restrictions - due date represents current thinking around when those might be loosened and physical meetings could again be planned	01/04/2021

Risk Ref.	Level 1 Risk Category	Level 2 Risk Category	Risk Description (The risk of <uncertain event> due to <cause(s) of the risk> resulting in <consequence(s) of the risk>)	Risk owner	Description of Current Controls/Actions (in place and effective)	Residual Risk Score		Risk Rating	Material Risk	Emerging Risk			Further Actions Needed	
						Impact	Likelihood			Flag	Proximity	Status	Description of Further Mitigation / Actions (Planned / underway)	Due Date
OPS4	OPERATIONS		Inability to hold physical meetings due to loss or non-availability of Community Centre	Clerk	In the event of the Community Centre being unavailable, the Council would meet at other local venues available within the parish Proven it is possible and acceptable to hold virtual meetings, both parish council meetings and more generally for ad-hoc meetings	Low	High	Green	No				Action to investigate the costs of improving the wi-fi capability of the Community Centre - due date represents current thinking around when those might be loosened and physical meetings could again be planned	01/04/2021
STRAT1	STRATEGIC		Failure to produce or agree a strategic plan for the Parish Council, resulting in decisions being taken which are short-term in nature and do not result in successful long-term outcomes	Chairman	No current strategic plan in place Development plan for 2021/22 drafted Communications strategy to be drawn up with assistance from Breakthrough Communications	Medium	Medium	Amber	Yes	Yes			Aim to appoint an external consultant to assist with the production of such a plan	01/09/2021
STRAT2	STRATEGIC		The lack of a plan for the use of s106 funds results in either the loss of those funds or their use in a way which does not meet the Parish Council's strategic objectives or the needs of residents	F&G	No current plan in place, but meeting held to identify potential uses of s106 funds s106 funds at greatest risk of loss used for pathway round playing field	Medium	Medium	Amber	Yes	Yes			Plan to be a secondary deliverable of the above strategic plan	01/09/2021
STRAT3	STRATEGIC		Strategic objectives of the new Buckinghamshire Council are unclear or do not align with those of the Parish Council, leading to lack of clarity or conflict, or changes to the responsibilities of the Parish Council which are not sufficiently reimbursed	Chairman	Currently unclear - may become clearer from meetings we attend Engaging with BC over topics such as AGT1 and Gardenway to help shape their policy	Medium	Medium	Amber	Yes	Yes			Monitor BC objectives and take part in dialogue / local forums	Ongoing
STAFF1	STAFF		Failure to comply with employment law, leading to staff grievance, loss of staff or legal action	Staffing Working Group	The Clerk and Assistant Clerk have contracts of employment and job descriptions, copies of which are in the Parish Council's records The Council has a Staff Handbook	Medium	Low	Green	No				These documents need to be reviewed to ensure they are up to date Consider need to engage external HR consultant	01/05/2021
STAFF2	STAFF		Failure to comply with HMRC requirements around employment law due to lack of understanding, leading to censure or time/effort to resolve	Clerk	BAS Associates completes the Employer's Annual Return and submits to HMRC within the prescribed timeframe on an annual basis Employee tax and NI contributions are paid monthly	Low	Remote	Green	No	No			No further actions planned	n/a
STAFF3	STAFF		Risk of injury or illness due to failure to consider the health and safety of staff	Staffing Working Group	Clerk and Assistant Clerk have injury cover under Employer's Liability Insurance Health and Safety Policy in place and reviewed December 2020	Medium	Low	Green	No	No			No further actions planned	n/a
STAFF4	STAFF		Risk of injury or illness due to lone working of Clerk or Assistant Clerk	Staffing Working Group	Office door kept locked when working alone in the Parish Office Staff to carry mobile phone when working out of the office All meetings with members of the public are by appointment only Lone working guidelines included in the Staff Handbook Staff encouraged to work from home if the Community Centre is empty	Medium	Low	Green	No	No			No further actions required	n/a
STAFF5	STAFF		Loss or incapacity of Clerk / Assistant Clerk resulting in failure to maintain operation of Parish Council activities	Staffing Working Group	In event of staff demise or other non-availability, backup cover can be sourced through Bucks Council, BALC or SLCC Bucks Branch Hard copies of policies and procedures are kept in a file in the Parish Office Both Clerk and Assistant Clerk are experienced and can cover for each other for at least the short term if necessary.	High	Low	Amber	Yes	Yes			Need to ensure Clerk and Assistant Clerk can fully undertake each other's work - further training to be undertaken during 2021	01/07/2021
STAFF6	STAFF		Incorrect or misleading advice given by Staff to Councillors or third parties (including members of the public) resulting in poor decisions being taken, public complaints or adverse publicity	Staffing Working Group	Staff are experienced, can refer to each other for guidance, and have access to external advice providers Staff are expected to keep up to date with relevant developments and are encouraged to undertake training	Medium	Low	Green	No	No			Continue to monitor	Ongoing
STAFF7	STAFF		Failure to achieve good working relationships between staff and councillors or key third party suppliers / contacts resulting in poor outcomes for the Parish Council and residents	Staffing Working Group	Issues with existing third party suppliers / contacts reported back to Parish Council. Before contracting with new third parties, staff and councillors will generally have a view as to whether the working relationship is likely to be a successful one. In extremis, new suppliers would be sought. Staffing Working Group in place to monitor and promote good working relationships between staff and councillors.	Low	Medium	Green	No	No			Staff Working Group needs to meet more regularly	01/05/2021
COUN1	COUNCILLORS		Failure to control expenses leading to unnecessary costs, poor value for money or adverse publicity	Clerk/Councillors	Travel Expenses Policy is in place Out of pocket expenses are reimbursed against a suitable receipt and paid in accordance with the Parish Council's financial controls Councillors notify Clerk/Assistant Clerk of training, conferences or meetings they are due to attend to represent the Parish Council and report back at the next meeting	Medium	Low	Green	No	No			No further actions planned	n/a
COUN2	COUNCILLORS		Failure to control allowances leading to unnecessary costs or adverse publicity	Clerk	Level of allowance is set annually Councillors receive a form to accept / reject the allowance - majority of councillors do not accept the allowance, and its amount is small by comparison with other budgeted items Allowances are paid through Parish Council's PAYE system	Low	Low	Green	No	No			No further actions planned	n/a

Risk Ref.	Level 1 Risk Category	Level 2 Risk Category	Risk Description (The risk of <uncertain event> due to <cause(s) of the risk> resulting in <consequence(s) of the risk>)	Risk owner	Description of Current Controls/Actions (in place and effective)	Residual Risk Score		Risk Rating	Material Risk	Emerging Risk			Further Actions Needed	
						Impact	Likelihood			Flag	Proximity	Status	Description of Further Mitigation / Actions (Planned / underway)	Due Date
COUN3	COUNCILLORS		Failure to declare conflicts of interest leading to poor decisions being taken or adverse publicity	Councillors	Standard agenda item at all meetings for Councillors to declare any personal or pecuniary interests in respect of any matters under discussion Register of Interest forms should be reviewed and updated by Councillors and re-submitted within 28 days if any change occurs. Register of interests published on the Parish Council's website and accessible via the Buckinghamshire Council website.	Medium	Low	Green	No	No			Register of Interests to be updated after the expected forthcoming elections	01/06/2021
COUN4	COUNCILLORS		Risk of poor decisions taken due to lack of knowledge or inexperience of Councillors	Councillors	'Welcome Pack' provided to new Councillors Existing Councillors have a breadth of experience and knowledge All Councillors are encouraged to attend training courses, conferences and events to widen their experience and knowledge New councillors have attended training courses and other councillors have attended virtual events when relevant	Medium	Low	Green	No	No			Continue to encourage councillors to attend relevant training	Ongoing
COUN5	COUNCILLORS		Unplanned resignations of Councillors due to dissatisfaction leading to inability to resource committees and deliver objectives	Chairman	Councillors encouraged to take part in discussions and a range of activities, including those making best use of their interests, experience and abilities Council currently has nearly full complement of councillors	Medium	Low	Green	No	No			Membership of sub-committees to be reviewed after May 2021 elections	01/06/2021
COUN6	COUNCILLORS		Lack of engagement or failure to achieve good working relationships with key external organisations leading to poor outcomes for the Parish Council and residents	Chairman	Councillors represent the Parish Council on the Wendover Community Board, Aylesbury Garden Town Board and with ARLA. Meetings with AGT1 consortium and Gardenway Close relationship with BALC Developing relationship with HS2 Ltd and its contractors Clerk is aware of new initiatives and brings these to the attention of Councillors to decide what level of engagement (if any) is required	Medium	Low	Green	No	No			Need to build relationships with Buckinghamshire Council Need to build relationships with HS2 Ltd and its contractors Initiative with other local parishes to more effectively engage BC and HS2 Need to establish link with	Ongoing
LEGAL1	LEGAL		Failure to comply with General Data Protection Regulation (GDPR) and the Data Protection Act 2018, leading to fines and / or adverse publicity	Chairman	The Parish Council is registered for Data Protection with the Information Commissioner. A Data Protection and Information Security policy is in place Councillors have been provided with dedicated laptops for use on Parish Council business	Low	Low	Green	No	No			Data Protection and Information Security policy requires review. Update Privacy Statement	01/06/2021
LEGAL2	LEGAL		Failure to comply with Freedom of Information laws, leading to fines and / or adverse publicity	Chairman	The Parish Council has adopted the model Publication Scheme issued by the Information Commissioner and produced a guide which sets out what information is available, by what means and any associated cost of providing that information. A copy of this Publication Scheme is on the Council's website. <i>Publication Scheme reviewed and updated</i>	Low	Remote	Green	No	No			No further actions planned	n/a
LEGAL3	LEGAL		Failure to comply with Equality Act 2010, leading to fines and / or adverse publicity	Chairman	Insurance cover is in place to protect the Council against the financial, legal and reputational consequences of a claim under the Act in respect of disability discrimination. Reasonable adjustments made for the needs of disabled people. Equality and Diversity policy reviewed and updated.	Low	Low	Green	No	No			No further actions planned	n/a
LEGAL4	LEGAL		Incorrect following of procedures or inappropriate action taken, leading to a legal claim against the Parish Council, resulting in costs and / or effort to address	Clerk	Ensure actions are legal. Clerk to clarify legal position on any new proposal and legal advice to be sought where necessary. The Council is a member of Bucks and Milton Keynes Association of Local Councils, which again is a source of information/training for many aspects. As a member of BALC, the Council can arrange legal advice via NALC. The Clerk is a member of the SLCC, which is a source of information/training for many subject areas. Councillors should also be provided with training wherever applicable (whether new	Medium	Low	Green	No	No			Training to be provided when possible	When available
LEGAL5	LEGAL		Inappropriate / incorrect action taken by staff or councillor, resulting in a claim against that individual, leading to cost and / or effort to address	Chairman	Insurance cover includes Officers Indemnity Insurance and Libel and Slander Complaints procedure reviewed and updated	Low	Low	Green	No	No			Review insurance for legal costs Clerk to keep a contacts log of issues/queries raised	Ongoing
LEGAL6	LEGAL		Incorrect or delayed minutes leading to misunderstanding or confusion	Clerk	Minutes are produced by the Clerk and issued in draft to Councillors for their review within 14 days. Thereafter minutes are approved at subsequent Council meetings and signed off (once amended, if necessary) by the Chairman as an accurate record Signed minutes maintained by the Clerk and kept in Council records. Approved minutes uploaded to the Parish Council website for public referral	Low	Low	Green	No	No			No further actions planned	n/a
LEGAL7	LEGAL		Failure to communicate adequately or appropriately with the public resulting in lack of engagement or understanding of the Parish Council's objectives and work, or of reputational damage	Chairman	The notice boards are updated at least every two weeks. The Council's website and Parish Magazine are also used to communicate with the public. More use is being made of the Bucks Herald and social media to get our message across Workshop with Breakthrough Communications to develop communications strategy	Medium	Low	Green	No	No			Develop communications strategy Develop reputational risk, social media, and publications policies	01/06/2021
ASSET1	ASSETS		The loss or damage of assets resulting in a cost to the Council	Clerk	Insurance cover in place for assets - amount covered is increased annually by RPI. Valuation of Community Centre carried out in November 2018 CCTV system installed at Eskdale Road Seats / benches are anchored to make theft less likely	Medium	Low	Green	No	No			Engage Thames Valley Police if further incidents occur at Eskdale Road	Ongoing

Risk Ref.	Level 1 Risk Category	Level 2 Risk Category	Risk Description (The risk of <uncertain event> due to <cause(s) of the risk> resulting in <consequence(s) of the risk>)	Risk owner	Description of Current Controls/Actions (in place and effective)	Residual Risk Score		Risk Rating	Material Risk	Emerging Risk			Further Actions Needed	
						Impact	Likelihood			Flag	Proximity	Status	Description of Further Mitigation / Actions (Planned / underway)	Due Date
ASSET2	ASSETS		The risk of damage to a third party individual or property due to the condition of assets or amenities	Clerk	All assets owned by the Parish Council are reviewed, inspected and maintained as required. Shelters / benches / notice boards checked regularly All repairs and relevant expenditure for these repairs are actioned / authorised in accordance with the procedures of the Parish Council Public liability insurance is in place Street furniture inspected annually with a written record kept	Medium	Remote	Green	No	No			No further actions planned	n/a
ASSET3	ASSETS		The risk of damage to a third party individual or property due to the condition of trees	Clerk	Public liability insurance in place	Medium	Remote	Green	No	No			Identify and catalogue trees on Council land Implement inspection routine About to undertake survey of trees in relation to TPOs	01/12/2021
ASSET4	ASSETS		Injury to public resulting from use of play areas - either defective equipment or through defective surfaces (slips, trips and falls)	Clerk	Playground, skate park and tennis court checked weekly and written record kept. ROSPA inspection carried out annually. Broken/damaged items are fenced/taped off until repaired Surfaces regularly checked for defects (eg potholes, broken glass)	Medium	Low	Green	No	No			BE has raised the issue of the steps to the rear of the Park Room - to be considered	01/06/2021
NPLAN1	NHOOD PLAN		Failure to complete Neighbourhood Plan within planned timescale leads to additional costs and reputational damage	NPSG	Timetable in place and monitored regularly. Some scope for obtaining additional or replacement resources externally (with associated cost)	Medium	Medium	Amber	Yes	No			Continue monitoring and reporting against timetable, resource requirements and budget	Ongoing
NPLAN2	NHOOD PLAN		Failure to follow legal guidance (e.g. around consultations) leads to re-work, challenge and hence additional costs and reputational damage	NPSG	Contacts in place with whom approach to guidance can be checked Uncertain impact from Covid	Medium	Low	Green	No	No			Engage and check with external contacts	Ongoing
NPLAN3	NHOOD PLAN		Lack of public engagement results in increased chance of Neighbourhood Plan not being approved, leading to re-work, additional costs and reputational damage	NPSG	Developing communications strategy. Some resources allocated for publicity Uncertain impact from Covid	High	Low	Amber	Yes	Yes			Publicity leaflets being developed Considering communications plan	Ongoing
								Green	No	No				