

Councillors' Risk Register – Warlingham Parish Council

Adopted: 7 February 2024

Row	Risk Description	Risk Probability 1 (low) to 3	Impact of risk 1 (low) to 3	Probability x impact 1 to 9 (high)	Control/ safeguard/ action	Risk Monitoring	Risk Manager(s)
Governance and reputation							
1	The Council acting beyond the law and/or policies	1	3	3 (low)	<ol style="list-style-type: none"> 1. Clerk to advise Council where necessary and complete regular training in order to keep up with any legislative/ regulatory changes. Policies to reflect current statute/ advice. 2. Cllrs to understand and abide with statutory requirements so as not to operate 'ultra vires'. 3. All new Cllrs to have an 'induction' meeting with the Clerk and within six months of joining complete formal introductory training with SALC. 	<ol style="list-style-type: none"> 1. The Clerk, in conjunction with the Chairman, to produce agenda items that are appropriate to the Council's role and that comply with Standing Orders/ Policies. 2. The Clerk to monitor and record each Cllr's training history. 3. The Clerk and Chairman to review and address any issues that arise. 	Council Chairman and Clerk
2	Failure to undertake statutory actions e.g. submit accounts	1	3	3 (low)	<ol style="list-style-type: none"> 1. The Clerk to maintain a list of statutory events (across the year) and action each one in advance of the respective deadline. 2. The Clerk to follow instructions issued by SALC and/or SLCC and seek clarification where necessary. 	Chairman and Clerk to discuss forthcoming statutory events at their monthly meeting.	Council Chairman and Clerk
Business Management and continuity							
3	Threat to Library Service due to a lack of volunteers	2	2	4 (medium)	<ol style="list-style-type: none"> 1. Library Management Committee to monitor the number of active volunteers 2. The Volunteer Coordinator to take action if necessary. 	Situation discussed at each quarterly Library Management Committee. Report to full Council.	Library Management Committee
4	Business interruption through sudden loss of Clerk	1	3	3 (low)	Utilise 'key man' insurance and employ locum	Chairman to be notified immediately	Council Chairman

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5	Business interruption through sudden loss of Library Volunteer Coordinator	1	2	2 (low)	1. The Volunteer Coordinator to review how tasks could be covered in her absence by a combination of volunteers and the paid staff 2. Library Management Committee to appoint a new Library Volunteer Coordinator and that training is provided.	The Library Management Committee to ensure cover is put in place.	Chairman of Library Management Committee
6	System failure e.g. website, email, hardware	2	2	4 (medium)	1. Employ contractors to provide robust systems and ongoing maintenance (inc quick repair/recovery) 2. Clerk and the Library Volunteer Coordinator (LVC) to back up respective laptop data (at least monthly) 3. All software updates to be actioned	1. Web/ Email contracted-out with specified service levels and safeguards. 2. Clerk to obtain a regular report from contractor(s)	Clerk Chair of Library Management Committee
7	Unsatisfactory performance - Clerk	1	3	3 (low)	Follow good employment practices including regular feedback and an annual performance appraisal (October)	Chairman and Clerk monthly meeting. Annual appraisal.	Council Chairman
8	Unsatisfactory performance – Library Volunteer Coordinator	1	2	2 (low)	Follow good employment practices including regular feedback and an annual performance appraisal.	Chairman of Library Management Committee to conduct an annual performance appraisal	Chairman of Library Management Committee
9a	Inability to meet financial liabilities	2	3	6 (medium)	1. Monthly financial reports from Clerk plus quarterly variance reports and reconciliation with Bank Statements 2. Budget discussion and precept setting by full Council with input by RFO. 3. New capital/project expenditure proposals to be carefully assessed and only approved where proper costings have been obtained and the funding is definitely available, as evidenced by supporting documentation including financial reports.	Cllrs to review monthly financial reports and raise concerns with RFO & Chairman. Create a separate risk assessment for the Green Improvement Project prior to making any commitments such as entering into grant funding, employing contractors. Risk assessment to be reviewed on a monthly basis.	Council Chairman and RFO

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9b	Green Improvement Project (size and complexity)	1	3	3	<ol style="list-style-type: none"> 1. Ensure that all contracts entered into and estimates agreed can be funded from the agreed budget of £600k (and any agreed fully funded increase to it) and do not include clauses which will expose the Council to the risk of materially higher costs. 2. Ensure that the Funding Contract from Tandridge District Council does not include clauses which would allow for the withdrawal of their grant, without proper cause, once contractors have been formally engaged to deliver the Project 3. Closely monitor spend versus budget / contract price once the Project commences, taking corrective action as necessary to ensure funding is not exceeded. This may require reduction in Project scope, cheaper materials and/or a longer delivery timescale. 	<ol style="list-style-type: none"> 1. The Project Steering Committee will carefully scrutinise all proposed contracts with the assistance of the Project solicitors where appropriate. 2. The Project Steering Committee will review regular reports of expenditure versus budget from the Project Manager (Surrey County Council) and the Clerk and take action as necessary 	Chair of Project Steering Committee and Clerk
10	Failure of financial institution	1	3	3 (low)	<ol style="list-style-type: none"> 1. Council to use only highly rated financial organisations. 2. Reserves to be spread across more than one provider (owner). 	Quarterly monitoring of deposits held with each institution; investments checked for risk profile and performance – reported to Council.	RFO

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Damage / Loss							
11	Damage to Library property by hirer	1	1	1 (low)	1. Library Management Committee to vet the suitability of potential hirers. 2. Terms of hire to be completed by hirer and the Council to hold insurance cover for risk of damage by hirer. Copies of completed hirer's forms to be copied to the Clerk for the insurance file. 3. Damage to be reported to the Clerk immediately for insurance purposes.	Any damage to the Library to be discussed at the quarterly Library Management Committee. Report to Council.	Library Management Committee and Clerk
12	Major fraud by employees and/or Cllr(s)	1	3	3 (low)	1. Council and RFO to comply with Financial Regulations. 2. RFO to produce monthly financial reports and quarterly bank reconciliation.	All Cllrs to review monthly financial statements. Quarterly sign-off of bank statements by a Cllr other than Chairman.	Council
13	Injury/damage to third party caused by trees on the Common Land	2	3	6 (medium)	1. Informal tree surveys during each year. 2. Every three years a professional tree survey (or sooner if necessary) and Council to take action when instructed to take urgent action. 3. Insurance cover (Public Liability minimum £10m).	Dictated by tree surveys. Cllrs (and Clerk) who make observations to report dead/ dying or damage to Clerk.	Clerk
14	Injury at volunteer events (e.g. litter picks)	1	3	3 (medium)	1. A Cllr or the Clerk to manage each event/activity so that relevant risk assessments/ protocols are followed. 2. A pre-event briefing of volunteers to take place to highlight duty of care issues. 3. Council to insure against injury and hold Public Liability cover.	A Cllr or Clerk to complete a post-event review – to be actioned and/or retained on file by the Clerk.	Supervising Cllr

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15	War Memorial at The Green – damage and/or deterioration	1	2	2 (low)	<p>1.Regular inspection to check condition in place. If there is damage and/or degradation requiring repair then general reserves should be sufficient. Grant funding normally available for cleaning/ routine preservation tasks</p> <p>2. Clarify who owns the Memorial</p>	<p>1. A regime of inspection (twice a year)</p> <p>2. Supervising Cllr to obtain ownership details and confirmation that the owner has taken risk responsibilities (inc funding works)</p>	Clerk and supervising Cllr (Cllr Bloore)