

RISK TYPE	RISK DESCRIPTION	DATE ENTERED	CURRENT RISK CONTROLS	DATE				RISK STATUS A = Accepted C = Controlled P/C = Partial controls T = Transferred S = Shared U = Unacceptable	COMMENTS
				April 22	March 23				
<b>FINANCE AND MANAGEMENT</b>									
<b>Business Continuity</b>	Council being unable to continue business due to unexpected or tragic circumstance								
	Council meetings not quorate	June 21	<ul style="list-style-type: none"> <li>Standing orders specify quorum number.</li> <li>Clerk makes arrangements for new meeting if not quorate.</li> </ul>	L				C	
	Committee meetings not quorate	June 21	<ul style="list-style-type: none"> <li>ToRs specify quorum number</li> <li>'Lead' makes arrangements for new meeting/ arrange for an additional councillor to join</li> </ul>	L				C	
	Loss of Clerk – Short Term	June 21	<ul style="list-style-type: none"> <li>Consider delegating powers to councillors.</li> <li>Consider use of a locum Clerk.</li> </ul>	L				C	
	Loss of Clerk – Long Term	June 21	<ul style="list-style-type: none"> <li>Council to make arrangements to source a temporary or permanent replacement.</li> <li>Consider use of a locum Clerk.</li> </ul>	M				P/C	
	The Council fails to act in a permitted manner.	June 21	<ul style="list-style-type: none"> <li>Terms of Reference.</li> <li>Training opportunities for staff and councillors.</li> </ul>	L				C	
	Illegal Activities or payments	June 21	<ul style="list-style-type: none"> <li>Standing Orders / Financial Regulations + Annual Review</li> </ul>	L				C	
<b>Agendas, Minutes and Standing Documents</b>	Accuracy and Legality		<ul style="list-style-type: none"> <li>Standing Orders + annual review</li> </ul>						
	Non-Compliance with statutory requirements.	June 21		L				C	
<b>Insurance</b>	Adequacy	June 21	<ul style="list-style-type: none"> <li>Annual review of policy undertaken prior to renewal</li> </ul>	L				C	
	Cost	June 21	<ul style="list-style-type: none"> <li>Best Value For Money (VFM) when reviewing/choosing insurer.</li> </ul>	L				C	
<b>Precept</b>	Adequacy		<ul style="list-style-type: none"> <li>Sound figures used when looking at budget</li> <li>Precept approved (and minuted) by full council</li> </ul>						
	Failure to submit Precept request in a timely fashion	June 21	<ul style="list-style-type: none"> <li>Submission date diarised and full council informed when complete</li> </ul>	L				C	
<b>Financial Controls and Banking, inc. electronic payments</b>	Fraud		<ul style="list-style-type: none"> <li>Financial Regulations + Annual Review</li> <li>Bank transactions require two-person authorisation</li> </ul>						
	Incorrect payments/errors	June 21		L				C	

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	Inadequate system of checking		<ul style="list-style-type: none"> <li>Detailed payment schedule at each full council meeting</li> <li>Cash Book published along with approved minutes</li> </ul>					C	
VAT	Reclaiming/charging not taking place appropriately	June 21	<ul style="list-style-type: none"> <li>VAT recorded in cash book, as per Financial Regulations</li> <li>VAT reclaimed at a minimum annually and verified by auditor</li> </ul>	L				C	
Annual Returns	Not submitted within time frame / not completed adequately	June 21	<ul style="list-style-type: none"> <li>Annual Return signed by Chair</li> <li>Annual Return submitted to Internal Audit</li> <li>Annual Return submitted to External Audit if any issues identified</li> </ul>	L				C	
<b>ADMINISTRATION</b>									
Data Protection	Personal data/information being retained without cause, or for longer than required	June 21	<ul style="list-style-type: none"> <li>Council registered with ICO</li> <li>Data Protection Policy</li> </ul>	M				P/C	Monitor and remove any personal data no longer required
GDPR	Retention /revealing of personal data	June 21	<ul style="list-style-type: none"> <li>All required GDPR policies in place</li> <li>Care taken to ensure personal data not revealed without consent</li> </ul>	M				P/C	Need to review/remove/destroy any inappropriately retained personal data / files
Freedom of Information	Requests not dealt with appropriately	June 21	<ul style="list-style-type: none"> <li>Council registered with ICO - for guidance</li> <li>FoI Policy</li> </ul>	M				C	
Records - paper	Loss through: theft/fire/damage	June 21	<ul style="list-style-type: none"> <li>Document Retention and Disposal Policy</li> <li>Minimal paper records held and backed-up by digital copies where possible</li> </ul>	L				C	
Receipt of documents by e-means	Breach of GDPR / required consent	June 21	<ul style="list-style-type: none"> <li>All email recipients provide consent</li> </ul>	L				C	
Records - electronic	Loss through: virus attack/computer corruption or loss	June 21	<ul style="list-style-type: none"> <li>All e-records backed up off site by IT support</li> <li>Dedicated virus and password protected lap top for use of RFO only</li> <li>Website with +++ security</li> <li>Register of passwords held off-site by IT support</li> </ul>	L				C	
Auditors Report	Non-compliance with regulations and proper practices	June 21	<ul style="list-style-type: none"> <li>Conclusion/outcome of audit minuted</li> <li>Report discussed at full council and posted on website</li> </ul>	M				C	

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<b>ASSETS AND PROPERTY</b>									
Assets	Loss or damage to property	June 21	<ul style="list-style-type: none"> <li>Asset Register maintained and updated as necessary</li> <li>Insurance held at the appropriate level</li> </ul>	L				C	
Notice Boards [x3]	Damage/wear and tear	June 21	<ul style="list-style-type: none"> <li>Regular checks on Notice Boards</li> </ul>	L				C	
Telephone Box	Damage/wear and tear	June 21	<ul style="list-style-type: none"> <li>Telephone Box checked at least 6-monthly</li> </ul>	L				C	
W. Ashling Playground	Damage/wear and tear	June 21	<ul style="list-style-type: none"> <li>Grounds maintained via external contract</li> <li>RoSPA inspection annually</li> </ul>	M				P/C	
Village Green (aka The Dell) West Ashling	Grounds - damage/wear and tear	June 21	<ul style="list-style-type: none"> <li>Regular grounds maintenance</li> </ul>	L				C	
	Pavilion - damage/wear and tear	June 21	<ul style="list-style-type: none"> <li>Pavilion re-painted as required</li> <li>Hire Form + T&amp;Cs in place</li> </ul>	L				C	

### RISK SCORE

H = High

M = Medium

L = Low