

APPENDIX 14



Risk Report - Summary

Run by: Stephanie Bennett

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Risk Report - Summary

#	Risk	Area of Business	Nature of Hazard	Current Controls	Risk Score	Proposed Actions	Assessments
9	Assault on staff	CORPORATE	Health & Safety	Lone worker training undertaken. Lone worker linked alarms available. Lone working avoided where possible. CTV coverage as deterrent. Receptions segregate staff and callers. Internal access doors are coded.	16	High	Consider dealing with difficult people training for reception staff
2	Computer Virus, disruption to service, reconstruction of financial records	CORPORATE	GDPR/Information Security, Financial, Regulatory - non compliance, Service disruption, Reputational	Netserve contracted to provide service and protection for council. Finance data is held on Cloud based server 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.	12	Medium	Staff and councillor training to be refreshed June 2023
6	Harm to person occurring in play area due to failure of equipment	CORPORATE	Financial, Health & Safety	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. si-auditor used to record all inspections	12	Medium	
19	Injury to councillors whilst carrying out their role	CORPORATE	Health & Safety	Advice given through own parties.	12	Medium	Training to be given to new Council June 2023
20	Public Injury on council property	CORPORATE	Financial, Reputational	All property undergoes inspection as appropriate. Outside areas litter picked and checked on schedule of inspection. Repairs undertaken in timely manner. Public liability insurance in place	12	Medium	

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31	Income reduced	CORPORATE	Financial	The Council retains 6 months of operating costs and assesses the balance sheet at the end of every month	12	Medium	
5	Parish Council owned trees cause harm to persons and/or damage to buildings	CORPORATE	Financial, Health & Safety	Tree inspection and management work is undertaken under an Service Level Agreement with NFDC. Public liability insurance is held	10	Medium	Priority trees to be categorised for annual inspection
17	Destruction of Gang warily, QE2 or Jubilee Hall	CORPORATE	Financial, Service disruption	Insurance carried for reinstatement and loss. Fire alarm systems on each building Maintenance Schedule undertaken for each building	10	Medium	Business continuity plan to be developed. Insurance policy to be reviewed for loss of earnings
1	Loss of Key Staff	CORPORATE	Financial, Regulatory - non compliance, Service disruption	Ensure any NEW Key Staff have a 3 month notice period to assist in providing business continuity More team meetings to help provide greater insight into each departments operations Increased resilience - other members of staff have the capability to carry out tasks that are necessary for the Councils business to be completed	9	Medium	Ensure procedures for key functions are documented, this is ongoing
7	Out of hours emergency	CORPORATE	Service disruption, Health & Safety	A company is contracted for alarm activations. Other out of hours responses are ad hoc	9	Medium	Out of hours response plan to be developed and implemented in 2023
14	Loss of finance manager	CORPORATE	Financial	Monthly 1 to 1s undertaken . Clerk can input to finance suystems. Asst Clerk can load bank requirements. Payroll outsourced. Locum can be sought	9	Medium	
18	Netserve cease to operate	CORPORATE	Service disruption		9	Medium	Business continuity plan to be developed with administrative back up
22	insecure unattended buildings	CORPORATE	Service disruption, Health & Safety	Persons trained to lock up	9	Medium	

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25	Inappropriate Insurance Cover	CORPORATE	Financial	Assessment for insurance cover made from building reinstatement costs and purchase value	9	Medium	Assess assets against replacement value
28	Loss of administration/reception staff	CORPORATE	Financial, Service disruption	Current staff have one months notice Temporary staff can be sought and trained	9	Medium	
30	Precept capping introduced	CORPORATE	Financial	The Council has no control over this risk. Budgets are very carefully considered and precepts kept to the minimum	9	Medium	
4	Banking failure	CORPORATE	Financial, Service disruption	Investment policy in place. Precept arrives in two instalments. Insurance carried for loss	8	Medium	Alternative investment accounts to be investigated to spread the risk
13	Destruction of workshop	CORPORATE	Financial, Service disruption	New fire alarm and CCTV fitted, Workshop re-organised.	8	Medium	Business continuity plan to be developed and implemented
26	External Contractor Issues	CORPORATE	Financial, Regulatory - non compliance, Health & Safety	Contractors selected through tendering/quotes and required to submit statutory documentation	8	Medium	Site plans and processes to be provided
29	Errors made during tendering	CORPORATE	Financial	All required processes followed. Consultants employed for construction related projects	8	Medium	
34	Theft of cash	CORPORATE	Financial	Till controls in place. Petty cash limited to £200. Banking undertaken regularly. Cash locked up and buildings secured	8	Medium	
3	Break In	CORPORATE	Financial, Service disruption	Buildings are alarmed and monitored with call out system in place. Staff are able to work remotely. All data and records held remotely and/or Maintenance and cleaners available. Insurance of office contents maintained. Building alarmed Links to buildings risk management plan and business continuity plan	6	Low	Business continuity plan to be developed

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8	Damage to leased/licensed/tenanted property	CORPORATE	Financial, Health & Safety	Inspections completed of all assets. Insurance cover secured	6	Low	
11	Embezzlement by staff	CORPORATE	Financial	All payments require a separate input and authoriser. Financial controls in place. Council receives all invoices. Spot checks undertaken by councillors. Internal auditor completes three visits per annumAnnual review of governance undertaken.	6	Low	
12	Loss of electronic records	CORPORATE	GDPR/Information Security, Financial, Regulatory - non compliance	Council systems held in Cloud and backed up. Employment and finance records in cloud.	6	Low	Refresher training to be undertaken with staff re cloud based computing
15	Loss of Clerk	CORPORATE	Regulatory - non compliance	Three members of staff currently training for CiLCA and are able to operate as RFO/Proper Officer	6	Low	
21	Late payment of precept	CORPORATE	Financial, Reputational	District Council are statutory body and payment of precept is a requirement	6	Low	
27	Loss of volunteers	CORPORATE	Service disruption	Volunteer policy in place	6	Low	Increased focus on support of volunteers required
10	Loss of hard copy records	CORPORATE	Financial, Regulatory - non compliance	All hard copy records secured in fire safe	4	Low	
16	Loss of Grounds Team	CORPORATE	Financial, Regulatory - non compliance, Reputational, Health & Safety	External contractors can be sourced and external projects minimised	4	Low	Business continuity plan to be developed.
23	Incorrect accounting for VAT	CORPORATE	Financial		4	Low	
24	Incorrect Purchasing	CORPORATE	Financial	Standing Orders and Financial Regulations reviewed regularly and followed	4	Low	

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32	Councillor Impropriety	CORPORATE	Financial	Councillors trained on standing orders and financial regulations. Register of Interests Completed and declarations of interest made. Councillors guided as appropriate	4	Low		
33	Councillor vacancies unfilled	CORPORATE	Regulatory - non compliance	Council has previously successfully co-opted to all vacanciesNFDC will appoint councillors if body inquorate	4	Low		
35	Inadequate budget set and inadequate precept raised	CORPORATE	Financial, Service disruption	Budgets set through committee and council consideration and precept agreed. Council carries six months reserves and assesses variance monthly so that issues can be identified early	4	Low		