

General Risk Register – Melbourn Parish Council

Likelihood Scores : Low (unlikely) = 1 Medium (possible) = 2 High (highly likely) = 3

Impact Scores : Low (negligible) = 1 Medium (moderate) = 2 High (Severe) = 3

Risk Rating Scores (Likelihood x Impact) : Low = 1,2 Medium = 3, 4 High = 6,9

Risk Ref Key: F= Finance, POS = Public Open Spaces,
G= Governance, C= Cemeteries, A = Allotments, B=
Parish Buildings.

Risk Ref.	Description of risk	Impact of risk on MPC	Likelihood Score (1-3)	Impact Score (1-3)	Risk Rating (high, Medium, Low)	Response
F1	Expenditure is incurred or grants awarded without proper legal authority	Potential for complaints, fines, qualified audit report	1	2	Low (2)	Qualified staff. Record of power under which grants are awarded is minuted.
F2	The PC has insufficient General Reserves so is at risk of administration if the precept is not paid on time	Inability to provide services or pay staff salaries and other contractual liabilities	1	3	Medium (3)	MPC holds 6 months of running costs in general reserve in line with its Reserves Policy.
F3	An adequate record of the Council's assets is not maintained	Potential theft or misappropriation of assets. Assets could fall into disrepair. Assets may be inadequately insured	1	3	Medium (3)	Asset register in place and reviewed annually. New acquisitions and disposals recorded. Periodic inventory checks carried out. Insurance cover linked to asset register. Professional insurance valuation of buildings undertaken and to be done every 5 years
F4	The PC has insufficient money	Assets could fall into disrepair. Potential H&S	2	3	High (6)	Full asset register in place. Ongoing maintenance spend requirements

	ring-fenced in Asset Replacement/Main tenance Reserves The PC does not have a maintenance plan so the budget for maintenance will be insufficient	concerns as well as adverse service delivery and rental income impact.				included in precept. MPC building up Asset Management Reserve and linking it to asset renewal programme (Action). Maintenance Committee prioritise and monitor maintenance spend monthly.
F5	Cash is lost through theft/misappropriation	Funding shortfall. Adverse publicity.	1	1	Low (1)	Limited cash held and banked promptly. Controls over dealing with cash. Small petty cash float. Petty cash procedure. Fidelity Guarantee (insurance).
F6	Failure to ensure proper use of funds under S137	Total S137 expenditure could exceed statutory limit for MPC	1	1	Low (1)	Qualified Clerk. Powers for grant approvals minuted.
F7	Proper financial records are not kept	Inadequate understanding of financial position of the authority. Potential qualified audit.	1	3	Medium (3)	RFO in place. Regular finance reports submitted at meetings. Two internal audit visits per year
F8	Poor Financial Management	MPC could run out of funds before the financial year end. Risk to service delivery.	1	3	Medium (3)	RFO in place. Regular budget progress reports/monitoring. Reserves of over 5 months running costs.
F9	Failure to set a precept within sound budgeting arrangements.	Inadequate funds to effectively carry out planned services. Unjustified precept charge to parishioners.	1	3	Medium (3)	RFO in place. Rigorous precept setting process followed. Adequacy of reserves considered when setting precept. Regular budget monitoring throughout the year.
F10	Failure to maintain an effective bank payments system	Loss of funds from bank due to staff error or fraud.	1	2	Low (2)	Controls in place over bank payments – proper separation of duties. All payments approved by council and minuted. Review of bank

						reconciliations by PC member. Regular budget monitoring. Fidelity Guarantee (insurance)
F11	Loss of funds due to bank failure	Any funds above FSCS guarantee limit could be lost. Impact on ability to deliver services and projects and meet contractual payments.	1	3	Medium (3)	Guarantee limit of £85k per financial institution. Investment policy in place. Spread of investments among different institutions.
F12	Failure to collect income from customers	Funding shortfall which needs to be met from elsewhere.	1	1	Low (1)	Responsibility for collection of debts defined – separation of duties. Budget monitoring. Procedures to chase outstanding debts.
F13	Loss of tenant for Little Hands Nursery building	Funding shortfall which needs to be met from elsewhere.	1	3	Medium (3)	Longstanding tenant. Reserves of 6 months to cover income shortfall.
F14	Claims will be made on insurance due to accidents in, on or around Council property (includes maintenance of public open spaces)	Adverse publicity Failure in duty of care to parishioners Increased insurance premiums	2	2	Medium (4)	Wardens regularly inspect and mend things. Cllr inspections. Maintenance Committee oversees and monitors. Process over awarding of major Maintenance Contracts. Risk assessments carried out. Public Liability Insurance held.
F15	New employees in key officer roles	Loss of funds through staff error or fraud	1	2	Low (2)	Staff continuity in key officer roles. Recruitment processes and references. Separation of staff duties/RFO separate from Clerk. Internal controls in place over bank payments and cash handling. Staff training and performance reviews. Fidelity guarantee (insurance)
F16	Melbourn Community Hub Management	The Hub might need to be managed and run by MPC. Potential adverse impact	1	3	Medium (3)	MPC works closely with the Hub Management Group and several Cllrs are directors. Regular finance reports

	Committee might not be able to make the Hub financially viable.	on reserves and increase in precept				provided to MPC. Financial assistance via grant given by MPC.
F17	SCDC and CCC are unable to perform their delegated tasks and these get pushed down to Parish Council level	The Precept would need to be increased to enable MPC to carry out additional duties	2	3	High (6)	MPC works closely with its District and County Cllrs and should get warning of any proposed changes so that it can make appropriate plans. MPC must continue to do this (Action).
F18	Damage or loss by fire, weather or vandalism of Councils assets	Potential adverse service disruption and unbudgeted outlay for replacements/repairs	2	2	Medium (4)	Asset register is linked to MPC's insurance policy. Wardens and regular Maintenance Contractors report damage to assets. Asset inspections programme. Risk assessments and fire prevention measures in place
F19	Lack of financial controls when appointing contractors and lack of monitoring of contractors following appointment	MPC may not get the best value from its contractors and may not get the service that it has paid for. Contractors may go out of business with an adverse impact on services.	2	2	Medium (4)	Policy for appointment & management of contractors. Policy includes financial checks. The Financial Regulations have controls around tender procedures and quotes. Maintenance Committee/Clerk monitors contractor performance
F20	Inadequate financial controls around ordering goods and services	The Council may not get best value for goods and services and may commit to expenditure without the necessary budget being available	1	3	Medium (3)	Financial Regulations/Standing Orders detail procedures for authorisation of orders. It is potentially a disciplinary offence not to follow Financial Regulations. Extra checks on approvals for ordering introduced. MPC policy for awarding contracts.
F21	Loss of Financial Records.	Inability to access financial information. Failure to meet statutory	1	3	Medium (3)	Financial accounting system is on a cloud-based system that is backed up

		requirements regarding record keeping.				remotely. Computerised finance records are regularly backed up.
F22	Investments made by MPC lose money	The council would have to make the shortfall up from elsewhere	1	3	Medium (3)	Investment strategy in place – low risk investments made and reviewed annually
F23	Covid-19 pandemic may have an unforeseen impact on MPC finances	Additional unbudgeted costs may fall on the parish council which could impact planned service delivery and projects.	2	1	Medium (4)	Position kept under review. Reserves in place of 6 months. It may be possible to move funds from other ring-fenced reserves in an emergency.
F24	Inadequate controls over salaries and associated costs	Salaries paid incorrectly or fraudulently. Incorrect deductions made and potential fines by HMRC	1	2	Low (2)	HR Panel approve salary budget. Amendments to pay rates/hours are approved by HR/MPC. Signatories check salary amounts paid. Budget monitoring. Payroll software package used for deductions and returns to HMRC.
POS1	Injury of user at one of the playparks.	Poor public perception of the council. The injured party could sue MPC.	1	2	Low (2)	Wardens inspect play parks weekly and report any maintenance issues to the council for repair. Play parks are also inspected annually by RoSPA who assess the risk and highlight any necessary repair works. MPC has insurance to reduce any monetary impact.
POS2	Damage to play park equipment.	Pay for repairs or replacement of equipment.	2	2	Medium (4)	Any damage is recorded on the weekly inspections and reported to council. All items of equipment in the playparks are recorded on the asset register and are insured. MPC could claim for any damages to the insurance so there would be little/no impact to council finances.

POS3	Trees on boundaries	Falling branches / debris Cost of Clearance Injury / Loss of life Impacted party could sue MPC	2	2	Medium (4)	Weekly inspection of open spaces by wardens. Trees of concern reported to parish office and inspected as soon as practicable. Annual inspection by tree inspector. Insurance
POS4	Benches	Vandalism Cost of replacement	2	2	Medium (4)	Vandalism is recorded and reported monthly to council. Some unplanned expenditure is budgeted for unplanned maintenance/replacement.
POS5	Bins	Vandalism Impact of damage to environment Cost of replacement	2	2	Medium (4)	Vandalism is recorded and reported monthly to council. Unplanned expenditure is budgeted for unplanned maintenance/replacement. Report issued to SCDC to clear rubbish.
POS6	Pests	Uneven ground/ trip hazards could cause injury. Injured party could sue council.	1	2	Low (2)	Regular pest control is carried out. Wardens monitor the open spaces and fill in holes which are pose high risk. Football team required to check pitches prior to use. MPC has public liability insurance.
G1	Failure to attract sufficient candidates for member vacancies	Reduced representation of neighbourhoods Lack of resource Possible meeting inquorate	1	3	Medium (3)	Actively publicise MPC's activities Seek candidates from groups within village Publicise vacancies in an eye-catching manner on noticeboards, social media, website, and in the press.
G2	Failure to achieve quorum at meetings	Business not transacted Decisions not made	1	3	Medium (3)	Issue annual meeting calendar to all councillors and officers Issue agendas promptly Check which councillors will be attending before the meeting.

						Contact councillors who miss meetings
G3	Failure to correctly identify local needs or wishes due to lack of public consultation by Council	Council does not represent the people Resources not applied Democratic deficit Decisions not based on evidence People disenfranchised	1	2	Low (2)	Ensure meeting a publicised on the notice boards and website. Maintain close contact with local resident, with working parties, surveys, public consultations etc. Publicise plans and invite comments. Act on residents' feedback.
G4	Failure to respond to electors wishing to exercise right of inspection	Complaints received Not transparent Non-compliance	1	2	Low (2)	Advertise how electors can exercise right of inspection and respond to requests.
G5	Members acting alone outside meetings	Members outside compliance Indemnities invalid Personal risk	1	2	Low (2)	Councillors attend training session and read "Good Councillor Guide" Do not make agreements outside of meetings
G6	Council decisions not implemented	Confidence undermined Reputation risk arises Possible losses	1	2	Low (2)	Actions from last meeting to be discussing at next meeting to assess progress.
G7	Inaccurate, untimely, improper minutes	Poor decisions in future Poor evidence for decisions	1	2	Low (2)	Draft minutes publish. Draft minutes to be approved at following meeting.
G8	Inadequate document control	Poor evidence Poor support to Members	1	2	Low (1)	Establish an appropriate filing and retrieval system. Produce a document version control calendar.
G9	Failure to recognise and address conflict of interest	Lack of transparency Open to complaints of fairness or bias nature	2	2	Medium (4)	Councillor to review Standards regime and comply with requirements.

	Inaccurate register of members' interest					
G10	Failure to complete and submit Annual Return	Poor Auditors report Public confidence suffers	1	2	Low (2)	Maintain a diary for the annual return process
G11	Loss of data on PC due to system fault	Interruption to effective administration Possible financial loss	1	3	Medium (3)	Hard drive back up Cloud back up
G12	Loss of services of Parish Clerk	Interruption to effective administration	2	2	Medium (4)	Assistant to the Parish Clerk to take on role. Locum Clerk to come in. Councillors to undertake some financial and administrative tasks. SLCC to assist in emergency.
G13	Non-compliance with data protection	Litigation Poor reputation	1	2	Low (2)	Clerk to monitor and act in accordance with the data protection policy.
C1	Injury cause by poor management of burial grounds e.g. fallen headstone	Poor public perception of the council. The injured party could sue MPC.	1	3	Medium (3)	Wardens to carry out fortnightly inspection. Immediate action taken when high risk issues are identified. The council has public liability insurance.
C2	Loss or theft of burial records	Loss of records would create more work for officers, which would increase the workload and therefore increase wages.	1	3	Medium (3)	Burial records are kept in a fireproof safe or archived. Copies of records from 2011 are also kept digitally to limit the risk of loss.
C3	Burial administration error	Opening a grave incorrectly or exhuming an incorrectly buried interment would incur additional cost to MPC.	1	2	Low (2)	The burial plot is checked by the assistant clerk on the map and then verified by the wardens at the cemetery, who mark the plot prior to the interment. The grave

						digger/funeral director also has a copy of the map to check the grave.
A1	Overgrown and abandoned allotments	If plot is overgrown and impacting neighbouring plots, the council pay for the clearance, if the previous holder will not, which is an additional cost	1	1	Low (1)	The plots are regularly inspected so that the council can identify plots of concern and act before clearance is needed.
A2	Bonfires	Damage to the allotments could cause loss to the council and holders. Damage to surrounding land and property.	2	3	Medium (6)	Holders must take out insurance to have a plot. The rental agreement states allotment holders must not leave bonfires unattended.
A3	Poorly constructed sheds and greenhouse	Damage caused to holders. Damage caused to plots	2	2	Medium (4)	Holders must take out insurance to have a plot. Holders must comply with the shed specification. Any shed that does not comply with the shed specification will be removed.
A4	Asbestos uncovered	Cause health issues for users of allotments. Impacted party could sue the council.	1	2	Low (2)	Regular inspections and clearance carried out by council. Asbestos survey carried outranks risk as "very low". Holders to act in accordance with council's management plan.
B1	Fire	Injury or loss of life. Impacted party could sue the council. Damage to building and assets. Rebuilding costs.	1	3	Medium (3)	Council buildings are insured. Council has public liability insurance. Annual servicing of fire safety equipment. Building specific risk assessments reviewed annually.
B2	Electricity issues	Injury or loss of life. Impacted party could sue the council. Damage to building and assets.	1	3	Medium (3)	Council building are insured. Council has public liability insurance. Annual PAT Testing.

		Rebuilding costs.				Regular inspections where faults can be identified and reported.
B3	Poor hygiene	Cause health issues. Impacted party could sue the council. Damage to building (mould, damp etc.) Repair cost.	1	3	Medium (3)	Users must remove any food from the premises after use. Cleaning is carried out regularly (at least weekly). Issues reported to the council and addressed.
B4	Legionella	Cause health issues/disease. Impacted party could sue the council. Cost of remedial works to clear legionella. Cost of closing premises during work.	1	3	Medium (3)	Annual legionella risk assessment and water testing. Remedial works reported to council. Wardens carry out the legionella control regime. Any issues reported to council.

Document created by the Parish Clerk.

Document Approval:



(Chair to Melbourn Parish Council)

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