

# Hunts Grove Parish Council Risk Register

Last Reviewed: 23<sup>rd</sup> August 2021

As adopted 13<sup>th</sup> September 2021

Minute ref: 87/21

To be reviewed and adopted at each Annual Meeting of the Parish Council

**Risk management is the process whereby local councils methodically address the risks associated with what they do and the services which they provide. The Parish Council should identify potential risks, then take all practical and necessary steps to reduce or eliminate the risks associated with working conditions, workplace activities and environmental factors, as far as is practically possible. This document should enable the Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them.**

**Assessment Scoring: 1 = low; 2 = low/medium; 3 = medium/high; 5 = high**

Activity	Risk	Cause	Effect	Likelihood	Actions
1. Finances	Sudden large expenditure required or excessive under budgeting	Unforeseen problem / Poor budgeting	Service not provided. Lack of confidence in council. Inability to carry out functions. Insufficient funds for contingencies	2 - Low/Med	Council has some reserves. Insurance in place to cover major risks.  Careful budget planning with contingency built in each year

Activity	Risk	Cause	Effect	Likelihood	Actions
2. Finances	Adequacy of Precept	Precept not submitted to SDC.  Precept not received by Parish Council	No income for parish council to continue its work	1 – Low	RFO to prepare budget, considering expenditure + projects.  Full review of proposed budget by Council in November. Regular review of budget v spend.  RFO to submit precept figure before deadline.  RFO to advise council of receipt of precept at next available meeting.
<b>3.Finances</b>	Fraud	Inadequate controls/ record	Loss of funds Financial irregularities	1- Low	Financial Regulations reviewed annually to ensure they are adequate. Annual internal & external audit.  Bank balances reported at every meeting with bank reconciliation.  Bank balance and expenditure audited by councillor twice a year.  Cheques + cheque stubs signed by 2 councillors upon sight of original invoice  Bank payments to be authorized by 2 councillors upon sight of original invoice

Activity	Risk	Cause	Effect	Likelihood	Actions
<b>4. Finance – VAT</b>	VAT not re-claimed within time limit	Poor accounting	Loss of funds Financial irregularities	2- Low/Med	All VAT receipts to be recorded. Separate column to show VAT Payments on Accounts spreadsheet.  RFO to produce refund analysis and make claim to HMRC for recovery of amounts within time scale.  All documentation for this process to be maintained in council records
<b>5. Finance - Payroll</b>	Payroll incorrectly processed – staff over/under paid	Staff errors	Loss of funds Financial irregularities	1 - Low	Payroll outsourced to reputable firm to manage on behalf of the parish council.
<b>6. Contractors</b>	Contractors not supplying services	Unavailable due to illness, poor weather	Poor Services	1 - Low	Contracts are defined. Contracts are informally monitored by Clerk & Councillors. Corrective action taken as required.
<b>7. Insurance</b>	Inadequate Insurance cover for the Council, its employees and assets	Failure to renew insurance policy. Cover on policy inadequate.	Council is uninsured and liable to insurance claim.	2 – Low/Med	An annual review is undertaken of all insurance arrangements in place. Employers Liability, Public Liability and Fidelity Guarantee are a statutory requirement. Officials’ Indemnity also in place.
<b>8. Parish Council records and archives</b>	Loss of Parish Council records	Fire, Flood, theft		1 - Low	Daily files stored in Clerk’s home which are at risk, however most are also stored electronically (see next item).

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<b>9. Electronic Records</b>	Loss of documents on Clerk's computer	Computer crash, fire, theft, flood	Loss of records	2 – Low/Med	All files stored on Google Drive which are backed up for 30 days. Anti-virus software installed.  Minutes kept as hard copies and copies emailed to all councillors. Minutes & policies held on parish council website  Secure passwords to be used on all electronic devices + websites only known by Clerk + Chairman
<b>10. Clerk to the Parish Council</b>	Unavailability	Resignation, illness	Work of the Parish Council cannot be carried out	2 – Low/Med	Urgent work carried out by Councillors. Contact GAPTC about availability of temporary cover or contact local Clerks
<b>11. PC Meetings</b>	Accommodation unavailable for meetings	Damage to meeting room or lack of available venues.	Meeting room unavailable	1 - Low	Use nearby amenity
<b>12. Membership of the Parish Council</b>	Vacancies on council	Resignation, retirement, insufficient nomination at elections	Meetings cannot be held due to not being quorate	2 – Low/Med	Ensure council meetings are run smoothly and business is relevant to retain the interest of serving councillors. Promote vacancies widely around the parish especially at election time.
<b>13. Members Interest</b>	Member has not disclosed a Declaration of Interest relating to an agenda item	Conflict of Interest by Member	Resolutions cannot be met due to insufficient number of Cllrs	2 – Low/Med	Standard agenda item for members to declare any personal or prejudicial interests they have + need to disclose of matters to be discussed.

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<b>14. Safety of Cllrs + Clerk</b>	Physical safety of Cllrs + clerk on site meetings	Inadequate precautions. Accidents due to unsafe ground or buildings	Injury to person and/or compensation claimed from council	2 – Low/Med	At site meetings, all councillors to adhere to any safety requests from site managers. Adequate insurance in place to cover accidents. Councillors to never carry out solo visits, always have clerk or another councillor present.
<b>15. Infection control</b>	Health of Cllrs + clerk + members of public	Ineffective infection control could cause spread of illness .	Service not provided. Lack of confidence in council. Inability to carry out functions.	2 – Low/Med	Hand sanitizer provided at face-to-face meetings.