

Faldingworth Parish Council Risk Register

...k facing a local authority is not being able to deliver the activity or services expected of the Council.”

...t is a systematic general examination of working conditions, workplace activities and environmental factors that will enable the employer to ...

...s inherent in the place or practices. Based on a recorded assessment the employer should then take all practical and necessary steps to re...

...ks, insofar as is practically possible, making sure that all employees are made aware of the results of the risk assessment.

...has been produced to enable the Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimis...

...as to be reviewed.

...e risk may be.

...management and control of the risk and record all findings.

...s and revise if required.

RISK MANAGEMENT

	Risk	H/M/L	Management/control of risk	Review/Assess/Revise
Continuity	Risk of Council not being able to continue its business due to an unexpected or tragic circumstance	L	Follow National guidance in a pandemic, councillor can be stand in clerk if required for longer term absence or locum sought, deputy chairman can stand in for chairman's absence	Follow National guidance in a pandemic
	Adequacy of precept	L	To determine the precept amount required, the Parish Council regularly receives budget update information and the precept is an agenda item at full Council. The Council receives a budget update report, including actual position and projected position to end the year and indicative figures or costings obtained by the Clerk. With this information the Council maps out the required monies for standing costs and projects for the following year and applies specific figures to budget headings, the total of which is resolved to be the precept amount to be requested from the District Council. This figure is submitted by the Clerk in writing to the District Council. The Clerk informs Council when the monies are received (approx May time).	Existing procedure adequate

	Precept not received from Borough Council	L	Adequate reserves held to maintain Parish Council responsibilities for one year.	Existing procedure adequate
Records	Inadequate records Financial irregularities	L L	The Council has Financial Regulations which set out the requirements.	Existing procedure adequate Review the Financial Regulations annually.
Banking	Inadequate checks Bank mistakes Loss Charges	L L L L	The Council has Financial Regulations which set out the requirements for banking, cheques and reconciliation of accounts. The bank does make occasional errors in processing cheques which are discovered when the Clerk reconciles the bank accounts when the statement arrives; these are dealt with immediately by informing the bank and awaiting their correction.	Existing procedure adequate Review the Financial Regulations annually and bank signatory list when necessary, especially after an AGM and an election/council option. Monitor the bank statements monthly.
	Loss through theft or dishonesty	L	The Council has Financial Regulations which set out the requirements. Cash received is banked as soon as possible. There is no petty cash or float.	Existing procedure adequate Review the Financial Regulations annually.
Auditing	Information communication	L	A monitoring statement is produced monthly. This statement includes, bank reconciliation, budget update, and a breakdown of receipts and payments balanced against the bank.	Existing communication procedures adequate. Council annually to appoint Councillor Auditor for Fidelity Compliance.
	Goods not supplied but billed Incorrect invoicing Cheque payable incorrect Loss of stock	L L L L	The Council has Financial Regulations which set out the requirements. At each Council meeting the list of payments awaiting approval is distributed to Councillors, and considered. Two Councillors are nominated to check each invoice against the cheque book and associated paperwork and initials the invoices and related cheques stubs. Council approves the list of requests for payment.	Existing procedure adequate Review the Financial Regulations annually.

	Unpaid invoices	L	Unpaid invoices to the Council for adverts in the newsletter or services are pursued and where possible, payment is obtained in advance.	
ole	Power to pay Authorisation of Council to pay	L	All such expenditure goes through the required Council process of approval, minuted and listed accordingly if a payment is made using the S137 power of expenditure.	Existing procedure adequate Parish Councillors request S137 rules if required.
able	Receipts of Grant	L	The Parish Council does not presently receive any regular grants. One-off grants would come with terms and conditions to be satisfied.	Procedure would need to be formed, if required.
ountability	Work awarded incorrectly Overspend on services	L L	Parish Council practice would be to seek, if possible, more than one quotation for any substantial work required to be undertaken or goods. For major contract services, formal competitive tenders would be sought. If a problem is encountered with a contract the Clerk would investigate the situation, check the quotation/tender, research the problem and report to Council.	Existing procedure adequate Include when reviewing Financial Regulations.
ssociated	Salary paid incorrectly Wrong hours paid Wrong rate paid	L L L	Salary rates are assessed annually and applied on 1 April each year. Clerk submits summary of hours to be paid at each meeting Clerk submits expenses to be paid at each meeting There is a contract of employment and job description.	Existing payment system is adequate.

	Loss of key personnel Actions undertaken by staff	L L	Councillor can act as Clerk or locum support. The Clerk should be provided with relevant training, reference books, access to assistance and legal advice required to undertake the role.	Existing procedure adequate Purchase revised books. Membership of the SLCC/LALC. Monitor working conditions, safety requirements and insurance regularly.
allowances	Councillors over-paid Income tax deduction	L	No allowances are allocated to Parish Councillors	No procedure required
	Risk of an election cost	L/M	Risk is higher in an election year. When an election is due the Clerk will obtain an estimate of costs from the District Council for a full election and an uncontested election. There are no measures which can be adopted to minimise the risk of having a contested election as this is a democratic process and should not be stifled.	Existing procedure adequate
	Re-claiming/charging	L	The Council has Financial Regulations which set out the requirements	Existing procedure adequate
AGAR	Submit within time limits	L	Annual Return is completed and signed by the Council, submitted to the internal auditor for completion and signing then checked and sent on to the External Auditor within time limit.	Existing procedures adequate

	Illegal activity or payments	L	All activity and payments within the powers of the Parish Council to be resolved and minuted at Full Parish Council Meetings.	Decisions to be minuted
Minutes/Notices	Accuracy and legality	L	Minutes and agenda are produced to a required standard by the Clerk and adhere to the legal requirements. Minutes are approved and signed at the next Council meeting. Minutes and agenda are displayed according to the legal requirements. Business conducted at Council meetings should be managed by the Chair.	Existing procedure adequate. Guidance/training to Chair should be given (if required).
	Business conduct	L		Members to adhere to Code of Conduct.
Interests	Conflict of interest	L	Standing Orders require declaration of interests at each Parish Council meeting by members to remind Councillors of their duty. Register of Members Interest forms should be reviewed regularly by Councillors.	Existing procedure adequate.
	Register of Members interests	L		Members take responsibility to update their Register.
	Adequacy	L	An annual review is undertaken (before the time of the policy renewal) of all insurance arrangements in place. Employers and Employee liability insurance is a necessity and must be paid for. Ensure compliance measures are in place.	Existing procedure adequate.
	Cost	L		Review insurance provisions annually.
	Compliance	L		Review of compliance.
Information	Policy and compliance	M	Review policy Registered with the ICO	Policy review required
Information	Policy and compliance	M	Review policy	Policy review required

EQUIPMENT OR AREAS

	Risk(s) Identified	H/M/L	Management/control of risk	Review/Assess/Revise
	Loss or Damage Risk/damage to third party(ies)/property	L L	An annual review of assets is undertaken for insurance provision, storage and maintenance provisions.	Existing procedure adequate
Ground/		L	Areas are regularly inspected by Councillors. An annual inspection of play equipment is undertaken by a third part specialist and any reported defects are actioned. Insurance in place.	Existing procedure adequate
	Poor performance of assets or amenities Loss of income or performance Risk to third parties	L L L	All assets owned by the Parish Council are annually reviewed and regularly maintained. All repairs and relevant expenditure for these repairs are actioned/authorised in accordance with the correct procedures of the Parish Council. All assets are insured and reviewed annually. All public amenity land is inspected regularly.	Existing procedure adequate Ensure inspections carried out.
	Risk/damage/injury to third parties	L L	Parish Council has 4 notice boards sited around the village. - any repairs/maintenance requirements brought to the attention of the Parish Council.	Existing procedure adequate
	Risk/damage/injury to third parties	L	The Parish Council is responsible for 9 seats, a litter bin and concrete store (covered by insurance). An annual inspection is carried out by Councillors and a report made at the next Parish Council meeting and damage or faults are dealt with.	Existing procedure adequate

on	Adequacy Health & Safety	L	The Parish Council Meetings are held at the Memorial Hall. Facilities are considered to be appropriate for the Clerk, Councillors and Public who attend from Health and Safety and comfort aspects..	Existing locations adequate
s - paper	Loss through: theft fire damage	L M L	The Parish Council records are stored at Cllr Green and the Clerk's home address. Records include historical correspondence, minute books and copies, leases for land or property, records such as personnel, insurance, salaries etc. Recent materials are held in metal filing cabinets. .	Damage (apart from fire) and theft is unlikely and so provision adequate. Deeds/leases copied and deposited off-site.
s -	Loss through: Theft, fire, damage corruption of computer	L	The Parish Council's electronic records are stored on the Council's computer. Back-ups of the files are taken at regular intervals.	Back-up of electronic files on password protected cloud service

November 2021 (next review November 2022)