**Great Horwood Parish Council**

**Risk Register and management policy** **Approved by GHPC 9 November 2020**

| **Risk No** | **Description (The risk is …)** | **Impact (The impact on the Parish Council would be .)** | **Risk** | **Response – what actions have been taken** | **Residual risk** |
| --- | --- | --- | --- | --- | --- |
| 1 | Loss or theft of assets | Financial loss | M | Appropriate securityAssets insured and value checked every three years | L |
| 2 | Wilful damage to fixed assets | Assets unusableFinancial loss | M | Appropriate securityAssets insured and value checked every three years | M |
| 3 | Equipment not maintained | Financial loss due to equipment failingPersonal injury from faulty equipmentLitigation | M | All necessary repairs or replacements carried out.Annual ROSPA inspection of play equipmentAll portable electrical equipment owned by the Parish Council to be PAT tested at the appropriate intervals. Public liability insurance | L |
| 4 | Liability for loss or damage to third party, property or individuals, as a consequence of asset ownership | Financial lossLitigationReputational damage | M | Public liability insurance in place. Open spaces regularly checked. Risk assessments carried out for all new activities. | M |
| 5 | Loss of interest if financial reserves kept in an account with uncompetitive interest rate  | Financial loss | L | Check interest rates and banking arrangements on an annual basis or more frequently as needed. | L |
| 6 | Loss of cash through theft or dishonesty | Financial loss | L | No petty cash. Very small amount of cheques handledAll payments approved by two CouncillorsIncome and expenditure monitored by Council at each Council meetingFidelity insurance in place | L |
| 7 | Inadequate financial control | Financial lossReputational damage | M | Check bank accounts online frequently to recognise and action any fraudulent activity.Bank account reconciliation to be carried out each month and reported to each Council meeting. Bank reconciliation to be inspected six monthly by CouncillorInternal and External audits | L |
| 8 | Failure to observe Financial Regulations leading to inappropriate financial activities | Financial lossReputational damage | M | Financial Regulations in place and reviewed regularlyParish Clerk keeps abreast of regulatory changes | L |
| 9 | Failure to comply with Customs and Excise Regulations | Financial loss | L | Parish Clerk to reclaim VAT when appropriate. | L |
| 10 | Failure to carry out sound budgeting to underlie precept | Financial lossReputational damage | M | Detailed estimates of the following year’s budget prepared no later than December each year for approval by the Council  | L |
| 11 | Failure to comply with borrowing restrictions | Breaking the law | L | Restrictions observed – eg PWLB Loan for street lights | L |
| 12 | Failure to comply with Employment Law | Breaking the lawPossible employment tribunal  | M | Legal advice sought where needed | L |
| 13 | Failure to comply with Inland Revenue requirements regarding income tax of employees | Fines | M | Regular advice from Inland Revenue. Salary reported using HMRC/RTI Internal Auditor carries out annual checks | L |
| 14 | Failure to ensure that the Parish Council is acting within its powers  | Possible judicial review | M | Parish Clerk clarifies the legal position on any new proposal. Legal advice sought where necessary | L |
| 15 | Lack of transparency in proceedings | Reputational damage | M | Parish Council meets 10 times per year with additional meetings as necessaryMinutes and all documents required by Transparency Code made available to the press and public on the village notice boards and/or Parish Council website | L |
| 16 | Parish Council unable to meet in public due to unforeseen circumstances eg pandemic | Lack of transparency in proceedings  |  | In line with changes to the Local Government Act the PC meets remotely via Zoom with members of the public able to join in |  |
| 17 | Loss of legal documents and Parish records | Inability to demonstrate ownership of landFinancial loss to recover documentsInability to recall historic data if needed | H | Leases and legal documents to be copied and originals transferred to the Bucks Archive.All electronic documents to be stored on Dropbox or another cloud-based storage system.  | L |
| 18 | Failure to comply with Data Protection Act 2018 | Breaking the law | M | Relevant data stored to comply with the Data Protection Act 2018 and under the retention of documents requirements. | L |
| 19 | Failure to undertake responsibilities for devolved services in accordance with agreement with Buckingham Council | Relevant services not delivered | M | All duties under Devolved Services Agreement to be provided for in the annual budgetAppropriate contractors to be employed | L |
| 20 | Failure of Councillors to observe the Code of Conduct | Reputational damage to Parish Council | M | All Councillors to receive a hard copy of the Code of Conduct. All Councillors to be familiar with the Code of Conduct and to sign up to acting within its rules. Declarations of interest made at each Council meeting | L |
| 21 | Inappropriate receipt of hospitality and gifts by Councillors  | Reputational damage to Parish Council Parish Council open to allegations of corruption | L | Register of Interest and Gifts and hospitality inplace and completed by Councillors when necessary | L |
| 22 | Potential for Clerk to not have up to date information  | Clerk would be unable to advise Parish Council appropriately  | M | Ensure attendance of Clerk on relevant courses and seminars offered for Clerk’s continuing professional development and provide full financial support for this purpose.Membership of BMKALC gives access to authoritative advice on matters relating to Council Business | L |
| 23 | Potential for Councillors to not have up to date information | Decisions made based on wrong assumptionsReputational damage | M | All new Members to attend a Councillors Induction Course as soon as practicable after accepting Office.Encourage attendance by Councillors on appropriate courses, seminars and workshops provided by:BMKALCBCCommunity Impact BucksOther relevant bodiesEncourage attendance at meetings where new policies and potential best practice are being discussed. These include:Winslow and Villages Community BoardNorth Bucks Parishes Planning Committee (NBPPC)BMKALC Parishes Liaison MeetingAVALCParish Clerk to maintain a register of attendances, by member/officer, at any of the above. To be reviewed annuallyMembership of BMKALC gives access to authoritative advice on matters relating to Council Business | L |
| 24 | Insufficient staff resource as a result of absence or sickness, or unfilled vacancies | The running of the Parish Council would be severely restricted | H | Provision to be made to cover staff absence orSickness with an allocation of funds earmarked in the reserves. Encourage an adequate number of candidates for councillor vacancies to ensure that the Parish Council can continue to operate | M |
| 25 | Working environment of Parish Clerk does not meet DSE Regulations  | Damage to health of Clerk | M | Risk Assessment to be carried out by the Parish Clerk to ensure that their working environment fulfils the requirements of the Display Screen Equipment Regulations. Checks for enough space, suitable lighting and power, not too noisy, the temperature and humidity is at an acceptable level and the display screen is at an acceptable height and the correct distance away from the user. | L |
| 26 | Use of chemicals under the COSHH regulations by Councillors or volunteers | Physical harm to users of chemicals and to third parties | H | COSHH Regulations adhered to if chemicals etc usedRisk Assessment carried out before use | M |
| 27 | Physical harm to Councillors, employees and volunteers when carrying out activities for the Parish | Personal injury of participantsParish Council sued for negligence | H | Risk Assessments to be carried out for all new activities Personal liability insurancePersonal Protection equipment should be used/work if indicated by the risk assessment | M |
| 28 | Damage to property or personal injury inflicted by contractors working on behalf of the Parish Council  | Parish Council being sued for damages | H | All contractors to carry liability insurance and to have documented risk assessmentsCOSHH Regulations to be adhered to where appropriateThe above to be contractual requirements. | L |