

Great Horwood Parish Council

Risk Register and management policy Approved by GHPC 9 April 2024

Notes “The greatest risk facing a local authority is not being able to deliver the activity or services expected of the Council.”

This document 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 minimise them. In conducting this exercise, the following plan was followed:

- ✍ Identify the areas to be reviewed.
- ✍ Identify what the impact may be.
- ✍ Evaluate what actions have been, continue to be or should be taken.
- ✍ Assessment of any residual risk

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 security Assets insured and value checked every three years	L
2	Wilful damage to fixed assets	Assets unusable Financial loss	M	Appropriate security Assets insured and value checked every three years	M
3	Equipment not maintained	Financial loss due to equipment failing Personal injury from faulty equipment Litigation	M	All necessary repairs or replacements carried out. Annual ROSPA inspection of play equipment All 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 loss Litigation Reputational damage	M	Public liability insurance in place. Open spaces regularly checked. Risk assessments carried out for all new activities.	M

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5	Inability to operate bank account due to insufficient signatories	Reputational damage as bills not paid Sued by suppliers for non-payment	H	Ensure that at least 3 Councillors are able to approve payments	M
6	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
7	Loss of cash through theft or dishonesty	Financial loss	L	No petty cash. Very small amount of cheques handled All payments approved by two Councillors Income and expenditure monitored by Council at each Council meeting Fidelity insurance in place	L
8	Inadequate financial control	Financial loss Reputational damage	M	Clerk checks bank accounts online at least once per week 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 Councillor Internal and External audits either annually or as required	L
9	Failure to observe Financial Regulations leading to inappropriate financial activities	Financial loss Reputational damage	M	Financial Regulations in place and reviewed regularly Parish Clerk keeps abreast of regulatory changes	L
10	Failure to comply with HMRC VAT regulations	Financial loss	L	Parish Clerk to reclaim VAT when appropriate.	L
11	Failure to carry out sound budgeting to underlie precept or	Financial loss Reputational damage	M	Detailed estimates of the following year's budget prepared no later than December each year for	L

Risk No	Description (The risk is ...)	Impact (The impact on the Parish Council would be .)	Risk	Response – what actions have been taken	Residual risk
	requirements not submitted in time and /or funds not received			approval by the Council Clerk files request and informs Council once complete. Council are informed once funds are received	
12	Failure to comply with borrowing restrictions	Breaking the law	L	Restrictions observed – eg SALIX Loan for street lights	L
13	Failure to comply with Employment Law	Breaking the law Possible employment tribunal	M	Adequate training to be carried out where appropriate Legal advice sought where needed	L
14	Failure to comply with HMRC requirements regarding income tax of employees	Fines	M	Regular advice from HMRC and HMRC website consulted as required. Salary reported using HMRC/RTI Internal Auditor carries out annual checks	L
15	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
16	Lack of transparency in proceedings	Reputational damage	M	Parish Council meets 10 times per year with additional meetings as necessary Minutes 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
17	Loss of legal documents and Parish records	Inability to demonstrate ownership of land Financial loss to recover documents Inability 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	Relevant services not delivered	M	All duties under Devolved Services Agreement to be provided for in the annual budget	L

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	services in accordance with agreement with Buckingham Council			Appropriate contractors to be employed	
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 in place 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

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23	Potential for Councillors to not have up to date information	Decisions made based on wrong assumptions Reputational 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: BMKALC BC Community Impact Bucks Other relevant bodies Encourage attendance at meetings where new policies and potential best practice are being discussed. These include: Winslow and Villages Community Board North Bucks Parishes Planning Committee (NBPPC) BMKALC Parishes Liaison Meeting Parish Clerk to maintain a register of attendances, by member/officer, at any of the above. To be reviewed annually Membership 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 or insufficient parish councillors for the Council to function	The running of the Parish Council would be severely restricted or if not quorate may not be able to function	H	Provision to be made to cover staff absence or sickness with adequate funds in the reserves. Encourage an adequate number of candidates for councillor vacancies to ensure that the Parish Council can continue to operate. Further mitigation is ensuring access to the Clerk's computer including mailbox, including if necessary a sealed envelope to be securely	M

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				<p>stored containing any necessary access codes.</p> <p>In the worst case scenario Local authorities under Section 1 of the Local Government Act 1972 have the power to appoint temporary members to a Parish Council to enable the Council to continue to function until other councillors are elected and take up office.</p>	
25	Working environment of Parish Clerk does not meet DSE Regulations	Damage to health of Clerk	M	<p>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.</p> <p>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.</p>	L
26	Use of chemicals under the COSHH regulations by Councillors or volunteers	Physical harm to users of chemicals and to third parties	H	<p>COSHH Regulations adhered to if chemicals etc used</p> <p>Risk Assessment carried out before use</p>	M
27	Physical harm to Councillors, employees and volunteers when carrying out activities for the Parish	Personal injury of participants Parish Council sued for negligence	H	<p>Risk Assessments to be carried out for all new activities</p> <p>Personal liability insurance</p> <p>Personal Protection equipment should be used/work if indicated by the risk assessment</p>	M
28	Damage to property or personal injury inflicted by contractors working on behalf of the Parish Council	Parish Council being sued for damages	M	<p>All contractors to carry public liability insurance and to have documented risk assessments</p> <p>COSHH Regulations to be adhered to where appropriate</p> <p>The above to be contractual requirements.</p>	L
29	Inadequate insurance held by the Parish Council to mitigate any	Parish Council being unable to recover costs	M	<p>Parish Council to review insurance arrangements at least once in any three year period, or more frequently</p>	L

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82	potential losses.			as deemed necessary	