

## EAST HOATHLY WITH HALLAND PARISH COUNCIL

### RISK ASSESSMENT

	<b>4 Very High</b>	<b>3 High</b>	<b>2 Medium</b>	<b>1 Low</b>
<b>4 DISASTER</b> Significant service failure / total loss of public confidence / fatality / major financial crisis.	RED 16	RED 12	AMBER 8	GREEN 4
<b>3 MAJOR</b> Significant service disruption / serious public criticism / serious injury / large financial cost.	RED 12	RED 9	AMBER 6	GREEN 3
<b>2 NOTICEABLE</b> Some service delivery disruption / reduced public confidence / minor injury / unplanned financial cost.	AMBER 8	AMBER 6	GREEN 4	GREEN 2
<b>1 MINIMAL</b> Minor service delivery disruption / adverse public comment / no injury / low financial cost	GREEN 4	GREEN 3	GREEN 2	GREEN 1

#### Key

<u>Score</u>	<u>Colour</u>	<u>Action</u>
1 to 4	GREEN	Monitor
5 to 8	AMBER	Keep under review
9 to 16	RED	Need further mitigation or contingency plan

## Risk Register - Adopted XXXXXXXX, 2023

No	Area	Description	Control Measures in place	Responsibility	Assessment – with controls in place			Further Control Measures	Responsibility	Assessment – WITH controls in place		
					Likelihood	Impact	Score			Likelihood	Impact	Score
1	Business Continuity	Risk of Council not being able to continue its business due to an unexpected or tragic circumstance including flooding and fire	<p>The office has moved to using Office365 and a hosted telephony system. Data is therefore backed up to the cloud and can be accessed from any PC/tablet/phone etc. using O365 log-ins.</p> <p>Remote access to the telephone system is now also possible.</p> <p>All accounting information is backed up to the servers of the software provider, RBS Rialtas.</p> <p>Anti-virus software is been maintained by Ashdown Solutions</p> <p>Chairman and members informed</p> <p>Alternative sites for meetings available</p> <p>Fire and risk assessments in place and reviewed yearly with full Council.</p>	Clerk	2	3	6		Clerk	2	3	6

No	Area	Description	Control Measures in place	Responsibility	Assessment – with controls in place			Further Control Measures	Responsibility	Assessment – WITH controls in place		
					Likelihood	Impact	Score			Likelihood	Impact	Score
2	Precept	Government changes rules on precept setting	Campaign SSALC and NALC Government have been requested to confirm precept limits prior to Parish setting budget.	Clerk	2	4	8	Council to accept the risk.		2	4	8
3	Precept	Inadequate precept setting. Precept not confirmed to SHBC on time or Members unable to reach an agreement.	Council starts budget planning in October for the following year. Annually in November.  Council agrees precept at the full council meeting. In the event Members cannot reach an agreement Financial Regulations allow for a default position of a 5% increase.  Clerk and RFO receives notification from SHBC, Clerk submits precept demand in January	Clerk	1	4	4			1	4	4
4	Financial	Inadequate records Financial irregularities	Council's Financial Regulations set out the requirements. These are based on the model NALC financial regulations, and are adequate for Council's requirements  Committees review finances at quarterly meetings and Full Council at every meeting  Financial Regulations are reviewed by full council yearly.	Clerk	1	3	3	Members to complete audits throughout the year	Clerk Council	1	3	3

No	Area	Description	Control Measures in place	Responsibility	Assessment – with controls in place			Further Control Measures	Responsibility	Assessment – WITH controls in place		
					Likelihood	Impact	Score			Likelihood	Impact	Score
5	Financial	Bank and banking's leading to; Inadequate checks Bank mistakes Loss Charges	The Council has Financial Regulations that set out the requirements for banking, cheques and reconciliation of accounts.  Any errors in processing are discovered when the RFO reconciles the bank accounts monthly against the statement, Informing bank immediately.  Reconcile bank accounts on a monthly basis and report the reconciliations to Full Council on a quarterly basis	Clerk/RFO	1	3	3	Members complete audits throughout the year	Clerk Council	1	3	3
6	Financial	Inadequate funds to meet liabilities	Setting of precept as above Village committees and Full Council regularly review budget Financial regulations manages the process	Clerk	1	3	3	Members to complete audits throughout the year	Clerk and Council	1	3	3
7	Financial	Cash loss	No cash is held	Clerk/RFO	1	3	3	Members to complete audits throughout the year	Clerk and Council	1	3	3
8	Financial	Incorrect payments of tax/NI Incorrect payment of salaries or allowances. Incorrect hours claimed for overtime	All staff appointments and salaries approved by Full Council. Salaries reviewed and approved at full council by 1 April each financial year.  Pay is processed by the RFO with copies supplied to Clerk and payments	Clerk/RFO/members	2	3	6		Clerk	1	3	6

No	Area	Description	Control Measures in place	Responsibility	Assessment – with controls in place			Further Control Measures	Responsibility	Assessment – WITH controls in place		
					Likelihood	Impact	Score			Likelihood	Impact	Score
			<p>are made to staff, authorised by two authorised signatories, both of whom are Councillors</p> <p>Tax and NI and pension payments are calculated using a payroll software programme and payments made to agencies as calculated,</p> <p>All overtime hours recorded and time off or payment agreed with the Chairman.</p> <p>Overtime claims are approved monthly by chairman and vice-chair</p>									
9	Financial	Invoices incorrectly paid	<p>All invoice payments are signed by two signatures, this includes cheques and electronic payments</p> <p>All invoices agreed and minuted at Full Council. All members have sight of invoices via retrospective payment approval list</p> <p>Invoices only paid when service has been received/items delivered</p> <p>All invoices are checked by Clerk or RFO and entered onto Omega by the RFO</p>	Clerk/RFO	1	3	3	Should a member check a number each month/quarter	Clerk and Council	1	3	3

No	Area	Description	Control Measures in place	Responsibility	Assessment – with controls in place			Further Control Measures	Responsibility	Assessment – WITH controls in place		
					Likelihood	Impact	Score			Likelihood	Impact	Score
			Financial Regulations in place and reviewed yearly  Internal audit review invoice processes and member audits are carried out four times a year									
10	Financial	Grants incorrectly awarded	Grant procedure in place and reviewed yearly.  All grants discussed and agreed at Full Council. Precept includes grants	Clerk Members	1	3	3	No further action		1	3	3
11	Financial	Grants receivable	Grants received come with conditions Grants held in a reserve account if appropriate. Procedures in place	Clerk/RFO	1	3	3	No further action		3	3	3
12	Financial	Annual returns incorrect or late	Internal audit in place Annual return discussed and signed by Full Council External auditors review compliance	Clerk/RFO Members	1	3	3	No further action		1	3	3
13	Financial	Election costs not budgeted.	Precept budgets each year to build a reserve for a known election year.  When by-elections occur, funds come from existing budget or reserves. Council manages budget to accommodate costs.	Clerk	3	3	9	All those agreeing to stand need to be aware of their responsibilities  Meetings held at SHBC for potential new Councillors to outline the requirements of Councillors.		2	3	6
14	Financial	VAT not managed correctly	Financial regulations in place and a review of Procedures in place.	Clerk/RFO	1	3	3	Council to review becoming VAT	Clerk Members	1	3	3

No	Area	Description	Control Measures in place	Responsibility	Assessment – with controls in place			Further Control Measures	Responsibility	Assessment – WITH controls in place		
					Likelihood	Impact	Score			Likelihood	Impact	Score
			Financial system generates VAT requirements VAT return completed quarterly					registered				
15	Financial	Collapse of the banks and money lost by the council.	All funds are held in UK banks and Council look not to exceed the limit set by the FA.  Long term banks and investment arms used to invest money	clerk	1	3	3	Council to formally review investments and bank limits yearly	Clerk Members	1	3	3
16	Financial and management systems	Awarding contracts incorrectly	Financial Regulations in place. Reviewed yearly Three quotes to be sought for goods/works/services above £3000 in value. For between £400 and £3,000, the Clerk/RFO will strive to obtain 3 estimates. Full Council review and agree awarding contract. 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. Tender/quote and delivery process controlled by clerk together with two members	Clerk/Members	1	3	3		No further action	1	3	3
17	Financial and management	Contracts with third party not completed in line with contract.	Process in place as above. All new contracts	Clerk	3	3	9	Councillors are not allowed to contact directly	Clerk	2	3	6

No	Area	Description	Control Measures in place	Responsibility	Assessment – with controls in place			Further Control Measures	Responsibility	Assessment – WITH controls in place		
					Likelihood	Impact	Score			Likelihood	Impact	Score
	nt systems	Contractors not in possession of adequate liability insurance  Contractors not properly qualified to carry out work.  Councillors making decisions outside the agreed policy	monitored by Council					potential new contractors, this must be completed via the Clerk				
18	Financial and management systems	Inadequate insurance.	Insurance reviewed yearly with insurance agent. Include public liability.  Full council discuss appropriate coverage.  Fidelity checks in place.	Clerk	1	3	3	No further action		1	3	3
19	Financial and management systems	Data Protection Policy not in place	Policy in place and reviewed yearly. Included in Standing orders. The Council is registered with the Information Commissioners Office. GDPR compliance audit took place in May 2018 – GDPRinfo.com appointed as DPO. All Sensitive information is held securely	Clerk	2	3	6	Policy to include safeguards on registration.	Clerk	1	3	3
20	Financial and management systems	Freedom of information not robust.	Council conforms to Data Protection standards. Responds to requests within time limits Policy part of standing orders	Clerk	1	3	3	No further action		1	3	3
21	Financial and management	Information security fails causing loss of data, information	Information security Policy in place and reviewed yearly.	Clerk	2	4	8	Members to complete test on system twice per	Clerk/ Council	1	4	4



No	Area	Description	Control Measures in place	Responsibility	Assessment – with controls in place			Further Control Measures	Responsibility	Assessment – WITH controls in place		
					Likelihood	Impact	Score			Likelihood	Impact	Score
	nt systems	hijacked.	PIN/access to systems only known by Clerk and RFO. Changed upon staff changes					year.				
22	Assets	Damage and risk to Street furniture & open spaces	An asset register is kept up to date and a detailed review carried out every 3-5 years. Insurance is held at the appropriate level for all items. Regular checks made. Inspections recorded  Annual inspection carried out by registered play inspection company. Review discussed and noted at Full Council	Clerk	2	3	6	Formally check at monthly meetings the records of inspection.	Clerk	1	3	3
23	Liabilities	Illegal activity on payments	All activity and payments within the powers of the Council. Council holds the power of general competence All resolutions to be minuted. Council follows the financial regulations. Internal audit twice a year	Clerk	1	3	3	Member audit review to be implemented	Clerk Council	1	3	3
24	Liabilities	Health& Safety of Council buildings not safe Risk of injury of employees, suppliers or members of the public	Previous health and safety records endorsed by Council cannot be located. Depot safety standards not acceptable, depot now closed. Previous health and safety reports are on file. Staff are made aware of	Clerk	3	3	9	All new risks to be assessed immediately and agreed with appropriate action by Full Council	Clerk and Council	2	3	6

No	Area	Description	Control Measures in place	Responsibility	Assessment – with controls in place			Further Control Measures	Responsibility	Assessment – WITH controls in place		
					Likelihood	Impact	Score			Likelihood	Impact	Score
			safe working practices Council health and safety statement agreed at full council. Appropriate insurance reviewed annually and in place Health and safety procedures in place and reviewed yearly by Council Play ground equipment reviewed year and full Council receive a report and agree actions.									
25	Liabilities	Risk to third party, property or individuals.	All activity and payments within the powers of the Parish Council to be resolved and minuted at Full Parish Council Meetings.	Clerk	1	3	3	No further action		1	3	3
26	Liabilities	Non-compliance with employment law	Employment law adhered to. Personnel service provided by HR Dept and support from SALC All personnel files held on site	Clerk	1	3	3		Clerk/ Council	1	3	3
27	Liabilities	Breach of confidentiality	Members agree a code of conduct  Members reported if they contravene	Members	1	3	3	No further action		1	3	3
28	Liabilities	Potential attack on staff when working.	Door is locked and notice on the door Procedures in place when the public enter the building	Clerk and staff	2	4	8	Lone worker policy to be implemented	Clerk/ members	2	4	8
29	Governance	No succession planning of management	Training Program for new staff agreed on commencement.	Clerk and Chairman	4	4	16	Council to establish contingency	Clerk/Council	3	2	6

No	Area	Description	Control Measures in place	Responsibility	Assessment – with controls in place			Further Control Measures	Responsibility	Assessment – WITH controls in place		
					Likelihood	Impact	Score			Likelihood	Impact	Score
			<p>Staff changes in 2015/16 caused issues for Council.</p> <p>Training budget allows all staff to receive the appropriate training, for roles they need to carry out.</p> <p>Yearly appraisal to be completed on all staff and management.</p> <p>Assistant Clerk completed and passed CiLCA January 2020</p>				3	<p>arrangements should key staff leave.</p> <p>Financial contingency to cover cost of temporary staff to be agreed</p> <p>WPC to adopt a new appraisal system that includes continuous assessment.</p> <p>Operations Manual to be kept up to date and reviewed annually</p> <p>Members to consider a resilience plan</p>				3
30	Governance	Incorrect or inaccurate minutes of meetings	<p>Agenda agreed with the Chairman and issued a minimum of three working days before meeting.</p> <p>Agenda displayed for the public.</p> <p>Meetings run in accordance with standing orders.</p> <p>Minutes approved by committee/full council and signed by the Chairman</p>	Clerk	1	3	3	No further action		1	3	3
31	Governance	Members do not follow members	<p>Procedure in place</p> <p>Members informed</p>	Clerk/members	2	3	6	Members informed to	Clerk	2	2	4

No	Area	Description	Control Measures in place	Responsibility	Assessment – with controls in place			Further Control Measures	Responsibility	Assessment – WITH controls in place		
					Likelihood	Impact	Score			Likelihood	Impact	Score
		interests code	yearly and information updated Information held on file and on Parish web site. Members informed at the start of each meeting Duty of responsibility with members.					update information in year. They have a legal responsibility to ensure all details are correct  Clerk to update formally at the May Council meeting.				
32	Governance	Elections – new Councillors not properly inducted/trained; not signed acceptance of office forms; do not submit register of interests within 21 days of election  Members do not always follow Good Councillor Code, WPC Standing orders and code conduct.	Induction training offered to Councillors  Induction pack put together by Council officers and provided to all Councillors  Acceptance forms signed at May meeting and all register of interests are to be submitted to the Clerk at May meeting  Training is encouraged but not mandatory  Any Member breaking the code could be referred to the monitoring officer.	Clerk/Members	3	3	9	Members training budget increased for years in which an ordinary election falls  SALC training available for all Councillors  Clerk to list all training completed by members.		2	3	6
33	Other operations issues	A pandemic stops or reduces the ability for council to operate	Government agrees to allow meetings to be held remotely if legislation permits  Meetings can be held remotely so residents can view	Clerk/members	2	4	8	Clerk responsible to interpret any requirements introduced by the Government and produce appropriate documentation.		2	4	8

No	Area	Description	Control Measures in place	Responsibility	Assessment – with controls in place			Further Control Measures	Responsibility	Assessment – WITH controls in place		
					Likelihood	Impact	Score			Likelihood	Impact	Score
			<p>Questions are forwarded to the public prior to the meeting.</p> <p>Clerk will complete any separate risk assessments required to operate and comply. Members to sign off.</p> <p>All staff have computer equipment to operate remotely.</p>					<p>Members to follow guidelines</p> <p>All records of actions required by members to be kept by the clerk</p> <p>When the pandemic is over a task group to work with the clerk to identify how the Council coped and Council to agree any future actions.</p>				
34	Council reputation	Resources insufficient to meet the council priorities	<p>Council set priorities each year</p> <p>Annual revenue budget is planned and agreed by Council</p> <p>Clerk responsible to full Council to deliver priorities.</p> <p>Budget reviewed by full Council quarterly</p>		1	3	3	Council to set a three-year budget as recommended by the auditor. Also, council to agree to actions from the independent report.		1	2	2

<b>Date of amendment</b>	<b>Amendment Made</b>
--------------------------	-----------------------

*Reviewed and Adopted: 25Spt2023 (Minute Ref. 20230925.5.10)*

