

HOOE PARISH COUNCIL RISK REGISTER

Subject	Risk(s) identified	Risk Level L / M / H	Management Control of Risk	Assess / Revise	Next Review
Councillors	Registers of Interests and gifts and hospitality in place. Risk of conflict of interests. Risk of a councillor not declaring an interest	L	Register of Disclosable Pecuniary Interest, by the Council Clerk. Declaration of interest is on the agenda at every meeting. Update declarations of interest by councillors is Cllrs responsibility when circumstances change. On the agenda at every meeting. A register of members' interests is published on the District Council's website and a link on the council's website. Register of Gifts & Hospitality retained by the Council Clerk for use by Cllrs and Council employees.		Election Year Monthly Monthly Annually
Councillors	Adequate Training in place	L	Councillors are required to attend new cllrs training within 6 months from joining the council as well as other relevant training when newly elected or when roles are altered. Details of all available training courses circulated to all cllrs.		Annually or as required and available.
Councillors	Risk of cost of an election	L	In the event of a councillor resigning during their term, the electorate have a statutory right to request an election. The council budgets for the potential of an election each year and its general reserves policy would allow for an unexpectedly large number being called in any one year. Scheduled elections are budgeted for.		Annually when setting the budget

Councillors	Risk of Councillors bringing the council into disrepute through their conduct.	L	The council has a code of conduct outlining acceptable councillor behaviour and each councillor has a responsibility to adhere to the code. The chair is responsible for controlling undesirable behaviour at meetings.		Monthly at meetings and as required.
Councillors	Risk of being inquorate in the event of councillors resigning their position.	L	The council has seven councillors, so needs to retain three to be quorate. In the event of three or more vacancies, the District Council would support the town council in the short-term to fulfil its statutory duties.	Clerk reminds cllrs to give apologies ahead of the meeting. Clerk is aware of required attendance numbers .	As required.
Councillors	Risk of disqualification.	L	Attendance is registered at each meeting on the minutes to monitor. Rules for eligibility to stand as a cllr are in the cllr co option policy and are check in election year.	Clerk to monitor attendance.	Monthly.
Business Continuity Major Incident	The risk of business disruption e.g. flooding, civil unrest, fire, postal bomb, pandemics	M	Emergency Plan last updated 2019. Revision required, current plan not adequate to meet needs for incidents such as flooding, fire, loss of electricity, gas leaks etc. Work with neighbouring parishes. Develop relationship with Police and Fire and Rescue. Clerk can have access to work from home with remote access into the office. Virtual meetings to take place as and when required	Lead Cllr to launch the emergency plan	June 2022
Business Continuity Cyber Attack / IT Security	Reliability of Firewall and security of IT systems could compromise security Increase in hacking	M	Firewall and security on IT equipment are regularly updated. Regular updates provided from outside IT consultants		Bi-Monthly
Legal Liability	Ensuring activities are within legal powers.	L	Clerk to clarify legal position on any new proposal. Legal advice to be sought where necessary Advice to be sought from local ALC where appropriate.		As Required

Legal Liability	Properly constituted meetings	L	All agendas are issued and displayed in accordance with the Local Government Act 1972. Council meets regularly and always receives and approves / signs minutes. Minutes made available to press and public via clerk.		Monthly
Legal Liability	Proper Document Control	L	Controlled through the Councils document retention policy		Bi Annually
Assets	Protection of physical assets detailed in the Councils Asset Register	H	Assets are insured through BHIB and are added to the Council's asset register. Some assets not insured due to failing to comply with statutory health and safety obligations to the village hall and sports pavilion. Leases and Land registration details are held by the clerk.	May 2022	Annual
Assets	Security of buildings, equipment etc.	H	Inadequate security in place for sports pavilion building and recreation ground gates. New locks, doors and gates to be installed. Work in progress.	April / May 2022	Weekly Checks to Locations
Assets	Maintenance of buildings and street furniture etc	H	Village Hall, Sports Pavilion and Storage Shed fail to meet basic health and safety standards. Council not meeting its duty of care. Village Hall, Sports Pavilion and Storage closed to public until remedial work undertaken. To develop a long term planned maintenance schedule of work to meet duty of care and health and safety obligations Reactive repairs to be carried out Planned programme of testing electrical / gas and safety equipment in place. Including 5 year electrical testing, extinguisher and (fire alarm and emergency lighting checks to follow once installed)	April / May 2022	Monthly As Required

Assets	Equipment	M	Repaired or replaced as required.		
Finance	Cash – Loss through theft	L	The council does not maintain petty cash. Payments are received through bank transfer or cheque.		
Finance	Risk of consequential loss of income.	L L L M L L	Insurance cover in place for insurable risks Aim for Bank account reserves to be minimum of 50% of the precept. Financial performance of all activity reviewed monthly to enable any issues to be speedily addressed All electronic records backed-up on the cloud supported by an external provider. Regularly review all financial issues to ensure all relevant information is present at the Full Council where the annual budget and precept are determined. RFO runs regular bank reconciliations and checks bank statements to ensure all payments are received		Annual Annual Monthly Bi monthly Monthly
Finance	Management of cash flow	L	RFO manages the cash flow and ensure that funds are readily available		Bi Monthly
Finance	Banking - Lack of authorised signatories for payments. Possible Errors	L L	Banking requirements are included in the council's financial regulations. Bank reconciliations are completed at the end of each month to identify any errors and signed by the chair of the parish council. All councillors can be signatories ensuring a sufficient number are always available.		On Going

Finance	Financial controls and records	L	Strict internal controls in place to separate functions.	Internal auditor assess twice a year	Monthly
		L	Two Councillors required to sign/authorise.		Monthly
		L	Internal Audit to be carried out twice per annum, External Audit 12 monthly.		Bi Annual
		L	Audit Reports to be presented to the next available full council meeting.		Bi Annual
		L	All recommendations acted upon as soon as practical and reported back to full council		As required
		L	Tenders secured for contracts when required in accordance with Financial regulations.		As required
		L	All financial records stored and saved in accordance with parish councils document retention policy which outlines the requirements for the retention of paper and other records.		Annual
		L	Archive materials are stored off site at the ESCC records office.		Annual
		L	Financial Regulations to be reviewed annually		Annual
Finance	Comply with HMRC VAT Regulations.	L	VAT payments and reclaims to be calculated using Rialtas software. Advice notes from HMRC followed at all times, use external advice where necessary. Internal auditor reviews VAT on a regular basis		Quarterly As received Bi Annually

Finance	Sound budgeting to underlie annual precept. Adequacy of precept in order for the council to carry out its statutory duties.	M	RFO develops budgets based on previous performance and plans for the future ensuring that adequate budgets are in place and available resources to cover the running costs of the Council and maintaining Council Services. They are presented to the full council for consideration along with the impact on residents and recommendation is made to Council. Full council consider the recommendations and impact on residents and sets the precept. Precept is received in two halves April and September. Expenditure against budget reported to full council		Annual Bi Annual Meeting schedule
	Complying with borrowing restrictions	L	Not Applicable		
	Ensure outstanding debts are paid	L	The council issues invoices for all amounts due and diarises to chase for payment. A list kept of all amounts outstanding		Monthly
	Contracts to be awarded in accordance with procedures	L	The council's financial regulations determine the process for awarding contracts, including financial limits for obtaining at least three quotes and for entering formal tendering process.		As required
	Salaries – ensure payments are made in accordance with contracts and Government Legislation	L	Payroll services are outsourced by the Council. The clerk is appointed on the NJC salary scales, and has an annual salary based on their contracted hours. The outsourced company use specialist software for the calculation of tax and NI payments.		Monthly

Liability	Loss of key staff members. Fraud or theft by staff members. Health and safety risks.	M L L L	There is only one member of staff employed by the council. Staff member receives annual appraisal. The council's fidelity insurance cover is monitored to ensure it covers the amount held in reserves. Internal audit and financial regulations and procedures mitigate the opportunities for fraud to be undetected. The council has a health and safety at work policy to mitigate the potential threats to staff wellbeing	Council would employ a temporary clerk if necessary.	As Required At least annually Bi annually
Liability	Risk to third party, property or individuals. Risk of being sued by a member of the public	L	Insurance in place with BHIB. The council's insurance includes public liability insurance to cover genuine claims where a member of the public may have been injured. There is a risk of frivolous and/or spurious claims. The councils insurance includes legal cover to help manage claims		Annual
Liability	Legal liability as a consequence if asset ownership	L	Insurance in place with BHIB. Council's assets are inspected The clerk with a member of the council inspects all council owned property including seats, flower tubs, etc once a year Annual Tree inspection		Annual Weekly Annual Annual
Employer Liability	Comply with Employment Law.	M	Membership of various national and regional bodies including NALC, CALC, ESALC Annual appraisal in place Legal advice taken if required.		Annual Annual As required
	Comply with Inland Revenue requirements.	L	Regular review of current legislative requirements undertaken by RFO. Additional information provided by accounting software company. Internal auditor undertakes regular review	Clerks research	As required

	Safety of staff and visitors.	L H	Clerk works from home. Council buildings checks currently do not meet health and safety requirements. Buildings to be checked weekly once requirements met.	May 2022	Weekly
	Data Protection and Freedom of Information – Risk of being noncompliant	L	The council has a publication scheme for freedom of information requests on its(website) and is registered with the Information Commissioners Office (ICO) for data protection requirements		Annual
	Lack of adequate training leads to poor quality decisions	L	Training is available from several specialist providers. The clerk is a member of SLCC and is undertaking various courses. Details of all available training courses are circulated to all staff and councillors. Staff training requirements are identified during the appraisal process.		As required Annual