

High Halden Parish Council Risk Register

Notes

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

Risk assessment is a systematic general examination of working conditions, workplace activities and environmental factors that will enable the employer to identify any and all potential risks inherent in the place or practices. Based on a recorded assessment the employer should then take all practical and necessary steps to reduce or eliminate the risks, insofar as is practically possible. Making sure that all employees are made aware of the results of the risk assessment.

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 risk may be.
- ✍ Evaluate the management and control of the risk and record all findings.
- ✍ Review, assess and revise if required.

FINANCE AND MANAGEMENT				
Subject	Risk(s) Identified	H / M / L	Management/Control of Risk	Review/Assess/Revise
Business continuity	Risk of Council not being able to continue its business due to an unexpected or tragic circumstance	L	All files and recent records are kept at the Clerk's home. The Clerk makes regular back-ups of files to a USB stick. In the event of the Clerk being indisposed the Chairman to contact the Kent Association of Local Councils for advice.	Existing procedures adequate. Review when necessary.
Precept	Adequacy of precept Requirements not submitted to MBC Amount not received by MBC	L L L	The Finance Council reviews the Precept requirement annually and makes recommendations to the Council at the December meeting. The Council reviews the presented budget update information, including actual position and projected position to year end and estimated figures for the next financial year. With this information the Council then agrees the amounts set for the specific budget headings for the following year, the total of which is resolved to be the precept amount to be requested from Ashford Borough Council. This figure is submitted by the Clerk online to ABC. The Clerk informs Council when the monies are received (at the end of April and September).	Existing procedure adequate.
Financial records	Inadequate records Financial irregularities	L L	The Council has Financial Regulations that set out the requirements.	Existing procedure adequate. Finance Committee reviews the Financial Regulations when necessary and makes recommendations to the Council .
Bank and banking	Inadequate checks Bank mistakes Loss Charges	L L L	The Council has Financial Regulations that set out the requirements for banking, cheques and reconciliation of accounts. The Clerk reconciles the bank accounts once a month when the statements arrive. The Clerk reviews the Councils banking arrangements regularly.	Existing procedure adequate. Review the Financial Regulations when necessary and bank signatory list when necessary, especially after an AGM and an election. Monitor the bank statements monthly.

FINANCE AND MANAGEMENT				
Subject	Risk(s) Identified	H / M / L	Management/Control of Risk	Review/Assess/Revise
Cash	Loss through theft or dishonesty	L	The Council has Financial Regulations that set out the requirements. Cash received is banked within 3 banking days.. The Council's insurance policy has a Fidelity Guarantee.	Existing procedure adequate. Review the Financial Regulations when necessary. Ensure Fidelity Insurance is adequate.
Reporting and auditing	Information communication Compliance	L M	A budget monitoring statement is prepared monthly by the Chairman of the Finance Committee. A full list of payments and receipts and cheques to be signed is provided at the meeting and the financial records including a breakdown of receipts and payments balanced against the bank statement are presented and checked by two Councillors at each meeting. Council should regularly audit internally to comply with the Fidelity Guarantee.	Existing communication procedures adequate.
Direct costs Overhead expenses Debts	Goods not supplied but billed Incorrect invoicing Cheque payable incorrect Loss of stock Unpaid invoices	L L L L	The Council has Financial Regulations that set out the requirements. At each Council meeting the list of invoices awaiting approval is distributed to Councillors, and considered. Council approves the list of requests for payment. Unpaid invoices to the Council for photocopying are pursued and where possible, payment is obtained in advance.	Existing procedure adequate. Review the Financial Regulations when necessary.
Grants and support - payable	Power to pay Authorisation of Council to pay	L	All such expenditure goes through the required Council process of approval, minuted and listed accordingly. The Council has the General Power of Competence.	Existing procedure adequate. Council reviews compliance with the criteria to use the GPC at its Annual Meeting.
Grants - receivable	Receipts of Grant	L	The Parish Council receives grants from ABC annually paid in two instalments. Receipt is reported to the Council at the next meeting of the Council. Any one-off grants awarded would come with terms and conditions to be satisfied.	Existing procedures adequate.
Charges - Rentals payable	Payments of leases/rentals	L	Sports pavilion – hire fees to be paid in advance on booking.	Existing procedure adequate.
Charges - Rentals receivable	Receipt of rental Insurance implication	L M	Football pitches - the Clerk invoices the Football Clubs annually for use of the pavilion and pitches.	Existing procedure adequate. Review agreement and fees annually. Ensure payments received.
Best value Accountability	Work awarded incorrectly Overspend on services	L M	As per Financial Regulations normal 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. Review Financial Regulations regularly.
FINANCIAL AND MANAGEMENT				
Subject	Risk(s) Identified	H / M / L	Management/Control of Risk	Review/Assess/Revise
Salaries and assoc.	Salary paid incorrectly	L	The Parish Council authorises the appointment of all employees at Council	Existing appointment and payment

costs	Wrong hours paid Wrong rate paid False employee Wrong deductions of Tax Unpaid contributions to the Inland Revenue	L L L L L	meetings. Salary rates are assessed annually by the Council and applied on 1st April each year. Salary is paid by cheque each month for a set number of hours and reported to the Council. Income tax is calculated using HMRC PAYE basic tools software updated annually, and paid quarterly. The Clerk keeps a record of hours worked and has a contract of employment and job description.	system is adequate.
Clerk/Other workers (voluntary/casual)	Loss of Clerk Fraud Actions undertaken Health & Safety	L L L	A contingency fund should be established to enable training for the CiLCA qualification in the event of the Clerk resigning. The requirements of the Fidelity Guarantee insurance to be adhered to with regards to Fraud. The Clerk should be provided with relevant training, reference books, access to assistance and legal advice required to undertake the role.	Include in financial statement when setting precept. Existing procedure adequate. Purchase reference books where necessary. Membership of the SLCC. Monitor working conditions, safety requirements and insurance regularly.
Councillor allowances	Councillors over-paid Income tax deduction	L	The Chairman has a budgeted annual allowance that is used if necessary for sundry items. Any expenses are claimed by presenting the relevant receipt to the Council for approval. Expenses are monitored to ensure the budget is not exceeded and expenditure reported monthly to the Council. No allowances are allocated to other Parish Councillors.	Existing procedure adequate.
Election costs	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 Borough 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.
VAT	Re-claiming/charging	L	The Council has Financial Regulations that set out the requirements.	Existing procedure adequate
Annual return	Submit within time limits	L	Employer's Annual Return is completed and submitted online to HMRC within the prescribed time frame by the Clerk. 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.

FINANCIAL AND MANAGEMENT

Subject	Risk(s) Identified	H / M / L	Management/Control of Risk	Review/Assess/Revise
Legal powers	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. The Council has the General Power of Competence.	All activities and payments Minuted. Council reviews compliance with the criteria to use the GPC at its Annual Meeting.
Council records - paper	Loss through: theft fire damage	L M L	The Parish Council records are stored at the home of the Clerk. Records include current correspondence, minute books, cash book, bank statements, insurance, etc. Recent materials are in a metal filing cabinet (not fire proof) and older more historical records are in the county archives. Deeds and Title	Damage (apart from fire) and theft is unlikely and so provision adequate. Deeds deposited off-site.

			Plans are held by the Parish Council's solicitor, Whitehead Monckton (Tenterden).	
Council records - electronic	Loss through: Theft, fire, damage Corruption of computer	L L	The Parish Council's electronic records are stored on a Council computer at the Clerk's home. Back-ups of the files are taken at regular intervals on to the USB stick.	Existing procedure adequate.
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L M	An annual review is undertaken (before the time of the policy renewal) of all insurance arrangements in place. Employers and Employee liability insurance are a necessity and must be paid for. Ensure compliance measures are in place. Ensure Fidelity checks are in place.	Existing procedure adequate. Review insurance provision annually. Review of compliance.
Data Protection	Policy Provision	L M	The Council is registered with the Information Commissioner Privacy Notice, Privacy Policy, Management Policy for data breach, procedure for Subject Access Requests to be adopted	Ensure annual renewal of Registration and compliance with the General Data Protection Requirement.
Freedom of Information Act	Policy Provision	L M	The Council has a model publication scheme for Local Councils in place. The Council is able to request a fee for any information requested to cover the cost of consumables and the clerk's time.	Monitor and report any impacts of requests made under the FOI Act.
Meeting location	Adequacy Health & Safety	L M	The Parish Council Meetings are held at the Memorial Hall. The Clerk holds a key and in the event the Clerk is indisposed the Chairman or Clerk will contact the Chairman of the Memorial Hall Committee for access to the building. The premises and the facilities are considered to be adequate for the Clerk, Councillors and Public who attend from Health & Safety and comfort aspects.	Existing location adequate.

ASSETS				
Subject	Risk(s) Identified	H / M / L	Management/Control of Risk	Review/Assess/Revise
Sports pavilion, play area equipment and sports and playing fields	Loss or Damage Risk/damage to third party(ies)/property	L L	An asset register is kept up to date and insurance is held at the appropriate level for all items. Regular checks made of all equipment by Members of the Parish Council or pavilion caretaker. Annual inspection of play area carried out by ROSPA.	Existing procedure adequate. Review insurance requirements annually.
Noticeboards	Risk/damage/injury to third parties Road side safety	L L	Parish Council has two notice boards in the Parish. All locations have approval by relevant parties, insurance cover, inspected regularly by the Clerk - any repairs/maintenance requirements brought to the attention of the Parish Council. Keys held by the Clerk and Vice-chairman.	Existing procedure adequate.
LIABILITY				
Subject	Risk(s) Identified	H / M / L	Management/Control of Risk	Review/Assess/Revise
Legal Powers	Illegal activity or payments Working Parties taking decisions	L L	All activity and payments made within the powers of the Parish Council (not ultra vires) and to be resolved and clearly minuted. Ensure established with clear terms of reference.	Existing procedure adequate. Existing procedure adequate.
Minutes/Agendas/ Notices/Statutory documents	Accuracy and legality Business conduct	L L	Minutes and agenda are produced in the prescribed method 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). Members to adhere to Code of Conduct.

Public Liability	Risk to third party, property or individuals	M	Insurance is in place. Risk assessments regularly carried out to comply with requirements.	Existing procedures adequate. Ensure risk assessments are carried out.
Employer Liability	Non-compliance with employment law	L	Undertake adequate training and seek advice from the Kent Association of Local Councils.	Existing procedures adequate.
Legal Liability	Legality of activities Proper and timely reporting via Minutes Proper document control	M L L	Clerk to clarify legal position on proposals and to seek advice if necessary. Council always receives and approves Minutes at monthly meetings. Retention of document policy in place.	Existing procedures adequate.

COUNCILLORS' PROPRIETY

Subject	Risk(s) Identified	H / M / L	Management/Control of Risk	Review/Assess/Revise
Members interests	Conflict of interest Declaration of Councillors Pecuniary interests	M M	Councillors have a duty to declare any interests at the start of the meeting. Declaration of Pecuniary Interest forms to be reviewed regularly by Councillors, and published on the village website..	Existing procedure adequate. Members to take responsibility to update their Register.

LONE WORKING IN PAVILION AND ON PLAYING FIELDS

Subject	Risk(s) Identified	H / M / L	Management/Control of Risk	Review/Assess/Revise
Workplace	Slipping on loose cables, etc.; fire and electrical hazards. Danger in lifting heavy items	M	All electrical and other cables to be stowed correctly, floor obstructions clearly marked. Reschedule lifting heavy equipment for assistance	Existing procedures adequate
Equipment	All equipment to be checked and properly maintained	L	All equipment and facilities to be maintained and checked at the start and end of the season, especially First Aid Kit	Existing procedures adequate
Violence	Pavilion security procedures to be checked and implemented at all times	L	Individuals should be aware of risks and act accordingly	Existing procedures adequate
Individual	There must be a contact for any Individual working alone who knows the working hours. Individuals must always carry a mobile phone	M	Individuals must ensure that a contact knows they are working alone, and have a deadline for action if the individual fails to check in	Existing procedures adequate
Training	One Parish Councillor must be responsible for ensuring that all those working alone are fully aware of the risks involved	L	One Parish Councillor must be responsible for ensuring that all those working alone are properly instructed, especially with appropriate First Aid training	The Parish Councillor must report to the Parish Council annually
Crisis	Fire, personal injuries, etc	L	Public Notices advising in event of emergency: Ring 999, and then inform the Clerk: 01233 623902	Review annually