



HALE PARISH COUNCIL – RISK MANAGEMENT REGISTER 2019
ADOPTED MINUTE 13 MEETING OF 18TH NOVEMBER 2019

RISK	PROBABILITY	IMPACT	MITIGATION	CONTROL	RESPONSIBILITIES
Personal injury or damage to member (s) of the public or their property arising from defect (s) in Council property.	Low – Council property comprises fixed installations as set out in the Asset Register	Claims for compensation and costs to the Council in defending claims where appropriate.	Covered under the Council’s insurance policy Public Liability Section	Regular maintenance and prompt repair of any damage.	Clerk Clerk
Compensation claim by employee (or contracted person) in respect of injury sustained in the cause of his/her employment/engagement.	Low – given the nature of the Clerk’s duties.	Claims for compensation and associated costs.	Potential liabilities, including costs, covered by Council’s insurance policy Employers Liability Section	Maintain adequate insurance cover.	Clerk
Loss of cheques, cash etc. held on the Council’s behalf.	Low – Receipts are rarely in cash. More usually by cheque, but infrequent.	Reduction in Council’s financial resources.	Such losses are covered by insurance policy – include theft. (Extent of cover depends on circumstances). Prompt payment of receipts into bank. Precept & VAT refund paid direct into bank account.	Maintain adequate insurance cover. Prompt payment of receipts into bank.	Clerk

RISK	PROBABILITY	IMPACT	MITIGATION	CONTROL	RESPONSIBILITIES
Financial loss due to banking error (e.g. leading to loss of interest or bank charges levied)	Low	Reduction in Council's financial resources.	Regular monitoring & review and reconciliation of Bank Accounts	Application of financial regulations, including scrutiny of all bank statements upon receipt. Periodic review of banking arrangements to secure best possible terms and conditions.	Clerk Clerk
Loss of monies due to fraudulent action by employee (s).	Low – any significant incident should be easily detected. Trust in integrity of serving Clerk.	Reduction in Council's financial resources.	All payments authorised by two Councillors, against invoices. All expenditure approved by Council. Accounts subject to scrutiny by Internal Auditor, and overview by External Auditor.	Application of financial regulations.	Council.
Damage to Council property by 3 rd party.	Low – confined to items listed on Asset Register	Repair costs to be covered.	Council's insurance policy covers items	Maintain property in good condition with regular monitoring for damage	Council and Clerk

RISK	PROBABILITY	IMPACT	MITIGATION	CONTROL	RESPONSIBILITIES
Compensation claim resulting from (alleged) negligent act or accidental omission by the Council or its employee(s).	Low – given the limited activities of the Council.	Potentially substantial cost to the Council.	Risk covered by Council’s insurance policy	Maintain adequate insurance cover. Ensure Council decisions are based on full information, including professional advice when necessary.	Clerk Council
Actions against the Council for libel or slander.	Low – Proper conduct of Council meetings and Clerk’s professional judgement regarding correspondence.	Potentially substantial cost to the Council.	Risk covered by the Council’s insurance policy	Members’ awareness. Proper conduct of meetings by Chairman. Professional advice from Clerk.	Chairman Clerk
Failure to represent community interest adequately in relation to matters likely to impact significantly on the parish.	Low – Parish Council well established as consultee.	Reduction in local facilities and/or quality of life, or missed opportunity to benefit from external funding or advice.	Council recognised by other agencies for consultation and information. Membership of NALC/LALC.	Threats & opportunities reported to Council meetings. Special meetings to be called as required. Representatives provide feedback as appropriate	Council Clerk

<p>Loss of council paper records and computer files due to accident or otherwise</p>	<p>Low - Council records are maintained in Clerks home and on his personal computer.</p> <p>Legal / historical records held in HVH</p>	<p>Inconvenience in tracing information particularly legal and historical records</p>	<p>Paper records maintained in metal cabinet providing a degree of fire protection</p> <p>Computer records regularly backed up to CD / External Hard Drive</p>	<p>Legal / Historical records are archived at LRO</p>	<p>Clerk</p>
<p>Unauthorised release of personal data contrary to GDPR 2018</p>	<p>Low – Amount and type of data is limited mainly to contact details of some residents on either hard copy or in electronic form</p>	<p>Risk of fine by ICO if data breach is occasioned</p>	<p>Data maintained to be reviewed on a regular basis and removed where no longer required</p>	<p>Member awareness of Council responsibilities including their own where data is provided to them whilst undertaking Council duties</p>	<p>Councillors / Clerk</p>

<p>Precept is not submitted on time, not paid by Principle Authority or is inadequate for purpose or does not provide sufficient reserves</p>	<p>Low</p>	<p>Reduction in Councils financial resources</p> <p>Inability to deliver services</p>	<p>Budget and Precept considered each year in line with standing orders and statutory requirements</p> <p>Full PC minute - RFO to follow up</p> <p>Check receipt</p> <p>Quarterly review against budget</p>	<p>Diarised by RFO</p> <p>Reminder normally sent by Principle Authority</p>	<p>Council and Clerk</p>
<p>Salaries wrongly calculated and paid.</p> <p>False employees.</p> <p>Tax and NI deductions incorrect</p>	<p>Low</p> <p>Low</p> <p>Low</p>	<p>Reduction in Council's financial resources.</p>	<p>Payment is by on line payment or cheque in accordance with Contract of Employment and Financial Regulations.</p> <p>Staff paid under Inland Revenue Tax deduction scheme using Inland Revenue software</p>	<p>Procedures in place and cheques signed / payment authorised in accordance with Financial regulations</p> <p>Quarterly budget comparison by Council</p> <p>Individual payments minuted or ratified at each meeting</p>	<p>Council</p>

Payment made for goods not received	Low	Reduction in Council's financial resources.	Purchases made from reputable known suppliers and generally only paid after receipt of goods/service	Payment after receipt	Clerk
Councillors Allowances / Expenses overpaid	Low	Reduction in Council's financial resources.	No Allowances have been approved	Payment only after detailed claim submitted in respect of expenses and resolution of Council	Council and Clerk
Reserves too low	Low	Reduction in Council's financial resources. Inability to deliver services	Annual Budget approved. Regular review against Budget headings New expenditure only undertaken where reserves allow. Reserves maintained at level commensurate with expenditure commitments and historical experience	Careful budget monitoring and formal approval and costings for new services and /or projects whilst maintaining reserves in line with past practical experience	Council and Clerk

Loss of key personnel	Low	Inability to operate and deliver services	<p>Ensure Clerk and other staff have adequate training, support and hours to undertake role to avoid stress, leading to long term sickness or early departure.</p> <p>Ensure regular back up of computer based work is maintained and sufficient notice periods are provided within contract to allow replacement to be obtained if necessary</p>	<p>Maintain regular contact and approve training and support mechanisms as appropriate</p> <p>Review contract terms if appropriate and back up computer files on regular basis</p>	<p>Council</p> <p>Council and Clerk.</p>
Financial Records inadequate and not archived as required by legislation leading to potential fraudulent activity	Low	Loss of ability to prove payments, failure to comply with statutory legislation and loss of monies	Ensure Financial Regulations are maintained and reviewed on a regular basis and that due governance is undertaken by Council	<p>Internal Controls are in place and reviewed as required</p> <p>Internal Audit report confirms Controls are adhered to with no adverse comment</p>	Council and RFO
Banks and Banking incl Internet Banking	Low	Loss through lack of governance and control	Bank accounts managed in accordance with legislation and reconciled on a regular basis	Internal Controls adhered to	Council and RFO

Hale Parish Council Organised Activities	Low	Risk of Financial Loss Failure to follow legal procedures resulting in claim against Council	All activities organised by HPC must have full risk assessment undertaken and comply with any statutory requirements with permissions being obtained as and when required thereby ensuring Public Liability insurance is complied with	Documented Risk Assessments undertaken	Council
VAT	Low	Risk of Financial Loss	Ensure VAT reclaims are made in a timely fashion	Regular Budget monitoring by Council at quarterly meetings	Council
Internal and External Audit, HMRC returns	Low	Risk of Financial Loss including late return penalties	Compliance with regulatory requirements	Member awareness of governance responsibilities and undertaking of training as required	Council

GDPR Compliance	Low	Risk of Financial Loss due to penalties and reputational damage to Council	<p>Compliance with regulatory requirements</p> <p>Appointment of external data control professional to check and advise accordingly.</p>	<p>Member awareness of legal requirements</p> <p>Audit, policies and appropriate privacy statements and notices in place</p> <p>Retention of records policy in place</p> <p>Personal data only retained for purpose for which it was required in the first place</p>	Council
Damage to Council Assets as defined on Asset Register by third party which include street furniture, VH contents and VH building	Low / Medium	Financial Loss / Repair costs to be covered	Council's insurance policy covers on an all risks basis for street furniture, VH contents and buildings cover for VH	Maintain property in good condition with regular monitoring for damage – ensure electrical equipment is PAT tested at required intervals	Council and Clerk