

Risk Register

Risk management is central to the strategic management of Chearsley Parish Council. A methodical and systematic approach is key to the success of the Parish Council helping to manage objectives, strengthen its governance and provide a good quality of service to its community by identifying threats and hazards that might otherwise be overlooked. Failure to manage risks effectively can be expensive in terms of, reputation, stewardship of public funds and litigation. The focus of good risk management will identify what can go wrong and identify proportionate steps that can be taken to minimise failure. To continually minimise failure the Parish Council should undertake a risk assessment at least once a year taking appropriate measures to control any risk; either by reduction or elimination. The assessment will include the identification of all work activities relating to Chearsley Parish Council; the hazards and risks associated with them and a review of the method by which they are controlled to assess the associated risks and to reduce them as far is reasonably practicable.

Level H = High / M = Medium / L = Low represents a subjective assessment of the risk, a combination of likelihood and seriousness of ensuing consequences.

CATEGORY	RISK AREA	LEVEL	CONTROLS IN PLACE	ACTION REQUIRED
COMPLIANCE WITH ALL APPLICABLE ENGLISH LAWS	Lack of knowledge of applicable laws	M	Ensure compliance with the applicable English Laws	Councillors, Officers and the Clerk actively keep up to date with current and upcoming changes to applicable laws and ensure the Parish Council as a whole kept informed
COMPLIANCE WITH COUNCIL'S REGULATIONS	Councillors and Officers lack of knowledge of Council Regulations and responsibilities	M	All Councillors and Officers have access to: Standing Orders, Financial Regulations, Code of Conduct, Complaints Procedure & Privacy Policy	Ensure that Councillors and Officers understand Council Regulations & their Council responsibilities. Reviewed at least once per year.
ASSETS	Potential injuries or damage to property caused by poorly maintained trees on Council land	M	Frequent inspections and pruning arranged with local Tree Surgeons by Tree sub-committee	
	Damage to Council land/assets	L	Frequent inspections	
	Identify, value and maintain all Parish Council assets and ensure that asset and investment registers are complete, accurate and maintained.	L	All assets for which Parish Council is responsible are recorded. Asset register completed accordingly and subject to audit as part of the annual process.	
	Street Signs - wear & tear, vandalism	L	Frequent inspections	Maintain & repair
	CPC Web Site not in compliance with 2020 accessibility regulations	M	Run web site compliance checks	Request Hugo-Fox to update
	Data loss or breaches	M	Ensure all Councillors, officers and clerk running up to date Anti-Virus and Operating system updates	
	GDPR compliance breaches	M	A privacy policy is published on the PC website http://www.chearsleypc.org.uk/community/chearsley-parish-council-13750/governance/ . There has been attendance of NALC/BALC GDPR training courses	

CATEGORY	RISK AREA	LEVEL	CONTROLS IN PLACE	ACTION REQUIRED
FINANCE	Payments made from Council funds and the use of assets not representing good value	L	Ensure that payments made from council funds and the use of assets represent good value for money, are adequately managed and comply generally with the wishes of residents.	Regularly review and publish costs/payments monthly
	Loss through theft, dishonesty or fraudulent invoicing by suppliers or 'phishing' emails.	L	All payments are pre-authorised by Council. Two cheque signatures are required or, when online banking is used, one authorisation by the RFO. There is also independent read only access to review online transactions by John Lewis. No petty cash held. Monthly statement to Council is on the Agenda and published in Minutes.	
	Items purchased without proper tendering procedures, resulting in either poor value for money or implications of commercial favouritism.	L	Ensure all Councillors are aware of financial regulations re estimates and full tender procedures. Estimates and multiple quotes required over an agreed figure of £500 .	
	Accuracy and legality of End of Year Account	M	Appointment of competent RFO , Robert Parkes is in place. Competent Internal Auditor, JEA, and External Auditor , PKF Littlejohn LLP, have been appointed. Approval by Council.	
	Insufficient budget provision	L	Proper consideration of budget in December each year	
			Maintain adequate balances and include a contingency sum in budget	
			Set realistic precept	
	Compliance with HMRC Requirements	L	All transactions are reviewed by internal auditors JEA Accountants and external auditors PKF Littlejohn to ensure compliance. VAT records are kept on computer systems and refunds claimed on a regular basis.	
Publication of minutes, detailing expenditure , Annual Report and Accounts and statutory return	L	Online publication of key spending and governance information		
Salaries paid to employees and amounts paid to contractors	L	Ensure that payment is in accordance with council regulations.		

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LIABILITIES	Public Liability	L	Insurance cover in place with Hiscox via Came and Co broker. £500k per councillor plus detailed schedule for council asset	
	Employer Liability	L	Insurance cover via Hiscox in place for accidents to Clerk and Council members. Membership of BMALC and SLCC. Public inspection of documents by appointment only.	
	Clerk's resignation/sickness	M	Councillor's may act in temporary capacity at nil pay	
	Legal liability	L	Minutes are property kept, approved and signed and provided on website. Membership of BMALC and SLCC. Insurance cover in place and Clerk clarifies legal position on any new proposal. Legal advice to be sought were necessary from BMALC and SLCC. Guidance notes received for new legislation and complied with (e.g. FOI Act, Equalities Act and Code of Conduct).	
	Councillor propriety	M	Standing orders are on the PC web site and reviewed annually. http://www.chearsleypc.org.uk/community/chearsley-parish-council-13750/governance/ Code of Conduct to be published. Statement of interests made as standing item at each meeting and register of interests available at https://buckinghamshire.moderngov.co.uk/ecSDDisplay.aspx?NAME=SD309&ID=309&sch=doc	
WORK HAZARDS, HEALTH and SAFETY	Grass cutting, weeding and strimming and other Council works. Volunteer activities.	L	It is a condition of employment that Contractors provide a copy of Insurance and Risk Assessment. Volunteers and contractors to provide and wear appropriate hi-viz and protective clothing. The PC has a detailed health and safety policy available on the PC website which covers all Councillors, Employees and volunteer activities.	Add link in this document when health and safety document is approved.
CHILDRENS PLAY AREA	Accidents due to faulty play equipment	L	Play equipment checked regularly for damaged parts by Chearsley Village Hall(CVH) Committee. Also covered by CVH public liability insurance	

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MISCELLANEOUS	Unexpected major events.	L	Provisions now taken for Covid now mean that PC business can now be conducted virtually. There is also a level of contingency in the current balance sheet for a small amount of emergency spending if required and permitted.	
	Loss of Council records, deeds, leases.	L	Record with Clerk and in locked filing cabinet. Keep electronic copies which are backed up.	
	Unexpected litigation against the Council.	M	Use of NALC's solicitor.	
	Non Compliance with Equal opportunities policy	L	An equalities policy is published on the PC website http://www.chearsleypc.org.uk/community/chearsley-parish-council-13750/governance/	
COVID or other Pandemic	Severe illness or risk of infection	M	<ul style="list-style-type: none"> o Carry out virtual meetings and follow government instructions. Subscription to Zoom and use of Zoom meetings for PC with streaming to YouTube to allow live access and recordings to the village in place and working. o Coordination of Good Neighbour Scheme 	

Glossary

NALC	National Association of Local Councils
SLCC	Society of Local Council Clerks
BMALC	Bucks & Milton Keynes Association of Local Councils
RFO	Responsible Financial Officer - an unpaid volunteer role, approved by the Parish Council, who oversees the PC finances.

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