

Risk Management

Key Risk	Risk(s) Identified	Risk Rating Score (impact x likelihood)	Management/Control of Risk	Review/ Assess
People	Council not being able to continue its business due to unplanned absence of Clerk. Fraud by Clerk. Regulatory breach Employee/Employer responsibilities Salary paid incorrectly. Clerk vacancy.	5 x 2 = 10	All files and recent records (both paper and electronic) are kept at the Clerk's Office. In the event of the Clerk being indisposed the FEC team will arrange administrative support through Locum cover. The requirements of Fidelity Guarantee insurance must be adhered to. Internal procedures in place – see finance regs. Clerk should be provided with relevant training, reference books, access to assistance and legal advice. FEC request references on recruitment. Absence record kept. Recruitment by FEC.	Ensure procedures are followed. Ensure proper oversight of employee and contractors used
Health and Safety	Injury to Clerk, Cllrs or members of the public. Trees, pond, play areas	4 x 3 = 12	Health and safety criteria met by establishment where meetings are booked. All the premises and facilities are considered to be satisfactory from a health and safety, accessibility and comfort aspect, for the Clerk, Councillors and any Public who attend. Periodic safety inspections and maintenance carried out on play areas, trees and closed graveyards. Liability Insurance is in place.	Review if new premises booked. Existing procedure adequate

Systems	Loss of Council records through theft, fire, damage of records. Data Protection cyber attacks	3 x 3 = 9	Papers, both current and archived are held in the Clerk's Office or in the Hever Hut in a locked filing cabinet. The Council have a secure professional set up online backup system that backs up files as they are created or changed. The Parish Council adheres to data protection laws IT security is in place	Existing procedure adequate
Finance / Fraud Precept	Inadequate precept / inadequate funds / overspends/ errors/ omissions	3 x 4 = 12	Sound budgeting to underlie annual precept. The FEC monitor and set the budget in the late autumn prior to making a recommendation to Council in January. At every meeting the Clerk reports and reconciles the accounts as part of the Agenda. Internal and external annual audit annually. Budget monitoring is in place. The Clerk reports receipt of the Precept to the Council.	Control expenditure by reviewing regular finance reports and monitor compliance with laws and regulations
Insurance	Adequacy, Cost, Compliance, Fidelity Guarantee	3 x 3 = 9	An annual review is undertaken of all insurance arrangements in place. Employers Liability, Public Liability and Fidelity Guarantee are a statutory requirement. One of the Cllrs. is an Insurance Expert and reviews the policy annually in advance of renewal.	Existing procedure adequate.
Banking	Inadequate checks Banks mistakes	3 x 2 = 6	The Council has Financial Regulations which set out the requirements for banking and internal audit. Adequate Existing procedures and checks. Regular monitoring and reporting of bank accounts	Control expenditure by reviewing regular finance reports and monitor compliance with

				laws and regulations
Money	Loss through theft or dishonesty	3 x 2 = 6	Bi monthly reconciliation prepared by RFO and checked by an appointed member for verification purposes. Cheques no longer used. Internal and external audit undertaken annually. All payments must be detailed in the Financial Reports presented to the Committee and Council. The Clerk has delegated authority to pay invoices prior to meeting approval. No Petty cash or HPC credit or debit card is used.	Existing procedures Adequate.
Annual Governance and Accountability Return (AGAR)	Not submitted within time limits	2 x 1 = 2	AGAR is completed and signed by the Council and the Internal Auditor. It is then checked and sent on to the External Auditor within time limit. Clerk prepares a timetable for submission and publication timelines.	Existing procedures adequate.
Assets Street furniture and Office equipment	Security, safety and maintenance of assets including notice boards, bus shelters, play equipment and benches etc.	3 x 3 = 9	An asset register is kept up to date and insurance is held at the appropriate level for all items. Regular checks are made on all equipment by Parish Council staff / contractors and recorded. A full annual safety inspection is carried out on play and exercise equipment	Existing procedures adequate.
Procedures Minutes/ Agendas/ Statutory documents	Accuracy and legality Non-compliance with statutory requirements	2 x 2 = 4	Minutes and agendas are produced in the prescribed method and adhere to legal requirements. Minutes are approved and signed at next meeting unless there is a resolution made to defer approval until the following meeting. Minutes and agendas are displayed according to legal requirements. Business conducted at Council meetings should be managed by the Chairman according to Standing Orders.	Existing procedures Adequate. Members to adhere to Code of Conduct and Standing Orders.



Members Interests	Conflict of interest Register of Members Interests	2 x 2 = 4	Councillors have a duty to declare any interest at the start of the meeting or when a conflict becomes apparent during a meeting. At the start of each term of office, every Councillor will complete a Disclosure of Pecuniary Interest form. Each Councillor will complete a new form should their interests change.	Councillors will be reminded of this obligation at the AGM
Council Reputation	Bringing the Council into disrepute. Social Media (misuse) Parish Councillor Acts and Omissions	4 x 2 = 8	Councillors understand and are offered training on the Code of Conduct, which is reviewed annually. Cllrs. and Clerk to bring to the attention of the Council any criminal offences. A professional approach is undertaken on all Parish Council matters. Civility and Respect pledge adopted.	Members to identify any training needs and to avoid potential conflicts. Members reminded at AGM to disclose any offences.
Environment	Storm damage, flooding, roads and infrastructure, pollution, contamination	4 x 3 = 12	Insurance in place for assets.	Follow local guidance in response to environmental events
Highways / Footpaths	Road safety, speeding, accidents, closures, maintenance required	2 x 3 = 6	Highways Improvement Plan in place. Report concerns/maintenance to Highways. Report damaged footpaths to PROW. Encourage public and Councillors to report issues direct.	Adequate procedures in place

Key:

Value Key to ratings

**Impact:**

- 1: Insignificant (very minor issue easily handled by normal processes)
- 2: Minor (some disruption possible, with financial cost of up to £500)
- 3: Moderate (significant disruption and time/resources required, cost up to £1500)
- 4: Major (severe disruption and costs up to £20000)
- 5: Catastrophic (severe disruption and risk of [bankruptcy], costs over £20000)

Likelihood:

- 1: Rare (less than 5% probability)
- 2: Unlikely (between 5% and 15% probability)
- 3: Moderate (15% to 50%)
- 4: Likely (50% to 90% chance)
- 5: Almost certain (greater than 90% chance)

Process:

- Step 1 - Assess the likelihood of an incident occurring
- Step 2 - Assess the impact of the incident
- Step 3 - Prioritise the Risks from Highest to Lowest and record them on the Local Risk Register.