

Sherfield Park Parish Council - Risk Register

Risk Area	Risk Identified	Raw risk (H/M/L)	Controls in place	Residual Risk	Action required	Review date
Section One : Areas where there may be scope to use insurance to help manage risk						
Property	Loss or damage to property and contents owned by the council	H	<ul style="list-style-type: none"> Register of assets and investments reviewed annually Assets all covered by insurance renewed annually Security cameras and alarms installed at parish office 	M	<ul style="list-style-type: none"> Bi-monthly inspection of bus shelters for damage Ensure asset register reviewed annually prior to audit Renew insurance in June 2020, including details of assets included. Security system used to secure office at all times Check security system is being recorded on a monthly basis Annual health check by accredited security company 	Bi-monthly Annual December 2020 Continual Monthly Annually
Public liability	Damage to third party property or individuals by parish employees; damage sustained by others by or in parish owned assets.	H	<ul style="list-style-type: none"> Parish office checked for health & safety issues Insurance cover for public liability £12m 	L	<ul style="list-style-type: none"> Renew insurance in June 2021 with sufficient public liability cover Annual review of health & safety of parish office and bus shelters 	June 2021 Annual
Exposure to Third Party actions	Consequential loss of income or the need to provide essential services following critical damage, loss or non - performance by a third party	L	Parish has no sources of income other than precept, and no 'essential' services. Litter picking the only service provided by parish.	L	If required a rota of volunteers/councilors to litter pick.	As required.
Theft	Loss of cash or assets through theft or dishonesty.	M	<ul style="list-style-type: none"> Financial Regulations reviewed and audited annually Financial managements systems audited annually 	L	<ul style="list-style-type: none"> Annual review of Financial Regulations Annual audit of financial systems Annual review of alarm and security 	Annual

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			<ul style="list-style-type: none"> • Parish office alarmed and has security cameras • Bus shelters, bins and noticeboards of robust construction 		<p>systems</p> <ul style="list-style-type: none"> • Annual review of security of bus shelters, bins and noticeboards. 	

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Section Two - Working with others to help to manage Risk						
Employment – paying employees correctly	Errors in paying employees.	M	<ul style="list-style-type: none"> Parish contracts with payroll provider Financial regulations sets out system for paying employees 	L	<ul style="list-style-type: none"> Review payroll provider annually Annual audit of payroll system 	Annual May 2021
Banking	Fraud and corruption by inappropriate borrowing or lending.	M	<ul style="list-style-type: none"> Parish bank accounts managed in accordance with standing orders and financial regulations Bank balances noted monthly at council Bank signatories and electronic banking authorisers approved by council Annual audit 	L	<ul style="list-style-type: none"> Annual review of Financial Regulations Annual review of Standing Orders Annual review of signatories and e-banking authorisers Annual audit 	Annual May 2021
Value for Money requirement	Fraud or corruption in the awarding of contracts for hiring or purchase of equipment or services (including professional services such as lawyers, accountancy, etc)	L	<ul style="list-style-type: none"> Award of contracts follow standing orders and financial regulations 	L	<ul style="list-style-type: none"> All contracts for hiring or purchasing of equipment or services require 3 quotes and decision at council Annual review of all contracts held by council (including website, cloud, security etc) Annual audit 	As required Annual May 2021

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Section Three - Self Managed Risk						
Financial records	Loss of control of finances; loss of records	H	<ul style="list-style-type: none"> In compliance with Standing Orders and Financial Regulations, Finance Reports are produced monthly and actual v budget figures produced quarterly Files backed up on the Cloud. 	L	<ul style="list-style-type: none"> Monthly finance reports reviewed at council Quarterly review of budget v actual at Finance Committee Annual audit of systems Annual review of the contract for our back-up systems 	Monthly Quarterly May 2021
Business activities	Breach of legal powers of councils	L	Parish has no current business activities.	L	If considering business activities to source advice from HALC and other councils who have experience of similar activities.	Ongoing
Employment law and Inland Revenue regulations	Breach of legal requirements regarding payment of employer's tax and National Insurance	M	<ul style="list-style-type: none"> Use of Payroll contractor Clerk and appropriate councilors trained in council finance Annual audit 	L	<ul style="list-style-type: none"> Advice sought from HALC if required Bi-annual review of Clerk and councilor training needs Annual audit 	As required 6-monthly May 2021
VAT	Not meeting HMRC regulations	M	<ul style="list-style-type: none"> Clerk trained in VAT regulations for councils Payments/reconciled on monthly basis Annual audit 	L	<ul style="list-style-type: none"> Advice a sought as required from HMRC Annual audit 	As required May 2021
Annual precept/ Budgets	Failure to set and manage precept income as regulated; spending not as budgeted.	M	<ul style="list-style-type: none"> Compliance with Standing Orders and Financial Regulations Budget reviewed and agreed in January annually, informed by previous years' spending Clerk and appropriate councilors trained in council finance Budget published on parish website Annual accounts published on parish website by the end of June annually 	L	<ul style="list-style-type: none"> Standing Orders and Financial Regulations reviewed with reference to national recommended templates annually Budget agreed December and published on website Annual audit Annual accounts and governance statement published on website Annual review of Clerk and 	Dec 2020 Dec 2020 May 2021 June 2021 Annual

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			<ul style="list-style-type: none"> Annual audit 		councilor training requirements	
Grants	Failure to comply with powers when funds granted to local community bodies	M	<ul style="list-style-type: none"> All grants based on approved form with supporting information All grants considered and approved/denied by council, specifying which power the parish is applying Annual audit 	L	<ul style="list-style-type: none"> Annual review of the Grant forms Review Clerk and councilor training to ensure powers are well understood Access advice from HALC when needed Annual audit 	Annual As required May 2021
Policies	Failure to meet employment and statutory regulations including GDPR, FOI, Equality, Employment Laws	M	<ul style="list-style-type: none"> Full set of policies reviewed by Policies & Personnel Group, adopted by council Clerk leads on FOI Policies published on website Clerk and appropriate councilors attended recent training in key areas Annual audit 	M	<ul style="list-style-type: none"> All policies to be reviewed annually by P&P Annual review of Clerk and councilor training to ensure sufficient knowledge and expertise in these areas within the council Advice sought from HALC as required Annual audit 	Annually Annually As required May 2021
Transparency Code	Failure to meet regulations to be open and transparent	M	<ul style="list-style-type: none"> Council and Committee agendas, papers and minutes are published in accordance with Standing Orders Each councilor has completed and published a Register of Interests All councilors receive at least basic councilor training, including when to declare pecuniary and non-pecuniary interests All required document are published annually by end of June as set out in Standing Orders Register of Members' Interests, Gifts and Hospitality maintained by Clerk Annual audit 	L	<ul style="list-style-type: none"> Ensure up to date with legislation through training Review and update councilor's register of interests annually in May Publish all documents as listed in Standing Orders by end of June Continue to publish agendas & papers 5 working days before meetings Continue to publish minutes with a month of meeting Annual audit 	Annual May 2021 June 2021 On-going On-going May 2021

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Electronic data security	Data being stolen or hacked	H	<ul style="list-style-type: none"> Firewalls on office equipment Firewall on Clerk's laptop to block attacks Anti-virus and malware protection installed (MacAfee) Laptop is password protected Data is backed up securely in the Cloud Registered with ICO Website meets current GDPR legislation 	L	<ul style="list-style-type: none"> Laptop passwords should be changed every December and June, with sufficient password strength Password is not documented (consider an accredited Password Management application) 	Annual
IT equipment	Clerk's laptop fails	H	<ul style="list-style-type: none"> Back-up of data is secure in Cloud offsite (Team KnowHow) Laptop hardware and software lifecycle monitored to ensure replacement in timely manner (3-5 years) 	L	<ul style="list-style-type: none"> Ensure all valuable data is being backed up (Dec & June) Perform monthly health checks on laptop Laptop hardware to be replaced within 5 years Ensure laptop software is updated in a timely way (office suite, any packages relied on) 	Monthly Monthly June 2025
Electronic data Storage	Loss of data	H	<ul style="list-style-type: none"> Persistent (continuous) back-up into the Cloud (data storage in 2 places to mitigate loss of 1) 	L	<ul style="list-style-type: none"> Annual subscription December and June validation of back-ups being successfully applied 	May Dec & June
Reputation	Parish is subject of negative publicity due to poor decisions; poor transparency of actions; or negative social media/press.	M	<ul style="list-style-type: none"> Decision making and transparency compliant with Standing Orders, Financial Regulations and statutory requirements Meetings held in public and topical public meetings held to engage with residents and hear views Communications and social media 	L	<ul style="list-style-type: none"> Annual review of communications and social media policies Annual review of Standing Orders and Financial Regulations and our compliance 	Feb 2021

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			<p>policies in place to ensure appropriate interaction with social media and press</p> <ul style="list-style-type: none"> • Hold an Annual Parish Meeting where all residents can come and ask questions/have their say on topics or issues. 			

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Section Four – Coronavirus/COVID-19						
Ongoing projects and business activities	Remaining an effective Council, making payments to contractors and payroll. Holding meetings. Website and social media updates.	M	<ul style="list-style-type: none"> Standing Orders updated to reflect the introduction of The Local Authorities and Police and Crime Panels (Coronavirus) (Flexibility of Local Authority and Police and Crime Panel Meetings) (England and Wales) Regulations 2020, specifically the sections to enable council meetings to be held using remote video approaches. These regulations came into force on 4 April 2020, and remain in force until May 2021 Email login for Clerk shared with Chair, should the Clerk be taken unwell. Website and FB login shared with Chair/Vice Chair. Rialtus login shared with Finance Chair. 	L	<ul style="list-style-type: none"> SPPC to react to NALC guidance. Extra card reader and login details require for Chair to Lloyds account. Residents to be informed of ongoing guidance and changes through social media channels and noticeboards/office window. Email and phone number shared through social media and noticeboards/office window to ensure MOP's are able to contact SPPC easily. 	Ongoing
Personnel	Safety & Health of Councillors, Contractors, Staff, Volunteers and MOP	M	The Parish office will be closed and the Clerk will not come into contact with the public during working hours, at their 1 st normal place of work. The Clerk will work from home.	L	<ul style="list-style-type: none"> SPPC to react to NALC guidance. Residents to be informed of ongoing guidance and changes through social media channels and noticeboards/office window. Email and phone number shared through social media and noticeboards/office window to ensure MOP's are able to contact SPPC easily. 	Ongoing

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Risk Register Approved: 9th December 2020

Review Date: December 2021 or before as required