

Risk Register

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

Risk is the threat that an event or action will adversely affect an organisation’s ability to achieve its objectives and to successfully execute its strategies. Risk management is the process by which risks are identified evaluated and controlled. It is a key element of the framework of governance together with community focus structures and processes standards of conduct and service delivery arrangements.

Risk Policy Statement

Normandy Parish Council (hereafter referred to as NPC) recognises that it has a responsibility to manage risks effectively to protect its Councillors, employees, assets, liabilities and the community against potential losses to minimise uncertainty in achieving its goals and objectives and to maximise its opportunities.

NPC is aware that some risks can never be fully eliminated and we have tried to ensure it has a strategy that provides a structured systematic and focussed approach to managing risk.

NPC is aware that its employees and members will have limited knowledge and expertise in some areas and professional support will be sought for specialist areas of responsibility.

Approach to Risk Management

NPC’s approach to risk management is that we should try to identify and manage risks in the most cost-effective manner within overall resources available. Each risk identified by NPC is recorded in NPC’s risk assessment document. The impact is assessed; control measures we feel to be appropriate are put in place together with the frequency with which the risk should be reviewed.

Responsibility for Risk Management

NPC recognises that it is the responsibility of all councillors and the Clerk (as an employee) to have regard for risk in carrying out their duties. If uncontrolled risk can result in a drain on resources that could better be directed to front line service provision and to meeting NPC’s objectives and community needs. This policy has the full support of NPC which recognises that any reduction in the risk of injury, illness, loss or damage benefits the whole community. We are aware that Council responsibility cannot be taken lightly and areas like succession planning are critical. The co-operation and commitment of all members of NPC and the Clerk are required to ensure that council resources are not wasted as a result of uncontrolled risk. NPC is responsible for ensuring that this procedure is adhered to. Professional support to be sought for specialist areas of responsibility.

This Policy and Risk Assessment will be reviewed annually by the Finance and Governance Committee.

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1. FINANCE

Subject	Risk(s) Identified	H/M/L	Management /Control of Risk	Review/Assess/Revise
Annual return	<ul style="list-style-type: none"> ▪ Not submitted within time limit ▪ Not published in compliance with regulations 	L L	<p>Year-end accounts are submitted to the Internal Auditor then approved by the Council.</p> <p>Annual return is completed in accordance with the regulations and set to the External Auditor within the time limit.</p> <p>Dates for the deadline are stated by external auditor.</p> <p>Accounts are published as stated on auditor notices.</p>	Existing procedure adequate.
Bank and Banking	<ul style="list-style-type: none"> ▪ Inadequate checks ▪ Bank mistakes ▪ Bank charges ▪ Internet hacking ▪ FSCS limits exceeded 	L L L	<p>NPC have Financial Regulations (FRs) that set out the requirements for banking, cheques and reconciliation of accounts.</p> <p>The Clerk reconciles the bank accounts monthly when the statements are received. Any errors would be communicated to the bank and Chairman immediately. The banking procedures are regularly reviewed.</p> <p>Two signatures are required for every cheque issued.</p> <p>FSCS (financial services compensation scheme) covers deposits to £85k; if funds held near this limit accounts would be reviewed, and money moved accordingly.</p> <p>Internet Banking procedure established requiring dual authorisation for every transaction. Antivirus software on Clerk's and every signatory's computer to be kept updated.</p>	<p>Existing procedure adequate.</p> <p>FRs reviewed annually.</p> <p>Bank signatories reviewed annually and with personnel</p> <p>Bank statements and reconciliation checked monthly.</p>
Best Value Accountability	<ul style="list-style-type: none"> ▪ Work awarded incorrectly ▪ Overspend on services 	L L	<p>As per FRs normal practice would be to seek whenever possible at least three quotations for work over £100.00.</p> <p>For major contract services formal competitive tenders will be sought. If problem is encountered with a contract the Clerk would investigate, check quote/tender, research problem and report to Council.</p>	<p>Existing procedure adequate.</p> <p>Review FR regularly.</p>
Charges/rentals receivable			NPC does not have any charges or rentals receivable.	
Councillor allowances / expenses	Councillors over-paid	L	<p>No allowances are allocated to Councillors or the Chairman.</p> <p>Any expenses are claimed by presenting the relevant receipt to the Clerk for approval/payment in the same manner as other payments.</p> <p>Expenses are monitored to ensure the budget is not exceeded and expenditure reported monthly to the Council.</p>	Existing procedure adequate.
Election costs	Unexpected election cost	L	Sufficient monies in reserve are budgeted to be available should the need arise.	Reviewed in budget.

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Financial Records	<ul style="list-style-type: none"> ▪ Inadequate records ▪ Financial irregularities 	<p>L</p> <p>L</p>	<p>NPC FRs set out requirements.</p> <p>The Clerk receives training to ensure knowledge is up to date.</p> <p>The accounts system includes reconciliations and cross-casting to reduce arithmetical mistakes.</p> <p>The Internal Auditor checks all records.</p> <p>Review of income & expenditure is provided monthly to the Council.</p>	<p>Existing procedure adequate.</p> <p>Review the FRs when necessary.</p>
Grants payable	No power to pay or authorisation of Council to pay	L	<p>NPC has a Grant Funding Policy that sets out the requirements.</p> <p>All such expenditure goes through NPC required process of approval and is minuted.</p> <p>Any grants awarded have the terms and conditions satisfied before money is released.</p>	Existing procedure adequate.
Grants receivable	Incorrect amount received or paid in	L	<p>Grants received are checked as being due by the Clerk.</p> <p>All receipts are reported to the Council and recorded in the minutes.</p>	Existing procedure adequate.
Invoices	<ul style="list-style-type: none"> ▪ Goods not supplied but billed ▪ Incorrect invoicing ▪ Errors in authorisation ▪ Unpaid invoices 	<p>L</p> <p>L</p> <p>L</p>	<p>The Council's FRs set out the requirements. Invoices are only submitted for approval once the Clerk has inspected the goods/services received.</p> <p>Cheques are presented to signatories with the relevant invoice (it having already been checked by the Clerk). All invoices are initialled by cheque signatory.</p> <p>Schedule of payments is produced for approval at each Council meeting and minuted accordingly.</p>	<p>Existing procedure adequate.</p> <p>Review FR when necessary.</p>
Legal powers	Illegal or unlawful activity or payments	L	All activity and payments within the powers of NPC to be resolved and minuted at Full Parish Council meetings.	All activities and payments minuted.

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Precept	<ul style="list-style-type: none"> ▪ Adequacy of precept ▪ Requirements not submitted to Chichester District Council (CDC) ▪ Amount not received from CDC 	L L L	<p>The Council commences the review of the precept requirement annually in September/October when the Finance Committee consider a first draft based on known income and expenditure. The presented budget will include actual position and projected position to year end and estimated figures for the next financial year. With this information a first draft overall figure is considered with a further Finance committee meeting to agree amounts set for specific budget headings for the following year. Final budget figures to be formally resolved at the December full Council Meeting; the total of which is resolved to be the precept amount to be sent to Guildford Borough Council for collection through the Council Tax. This figure is submitted by the Clerk (and the Responsible Financial Officer, where different) in writing to CDC. Clerk informs the Council when precept is received.</p>	Existing procedure adequate.
Reporting and Auditing	<ul style="list-style-type: none"> ▪ Information communication ▪ Compliance 	L L	<p>Budget monitoring statement is produced each month and provided for members for information purposes. A full list of receipts, transfers and cheques to be signed is provided at the meeting and the full detail balanced against the bank statement and checked by a Councillor monthly.</p>	Existing communication procedures adequate. Councillor to be appointed to check financial records for fidelity compliance.
Salaries and associated costs	<ul style="list-style-type: none"> ▪ Salary paid incorrectly ▪ Wrong deductions of NI or Tax ▪ Unpaid Tax & NI contributions to the HMRC. ▪ Incorrect time or holiday paid. ▪ Pension ▪ Expenses paid correctly 	L L L L L L	<p>NPC authorises the appointment of all employees through a recruitment process. Clerk keeps a record of hours worked and has a contract of employment and job description. Salary based according to NALC/SLCC national pay scales. Salaries paid by cheque while pension contributions are paid by d/d. Payroll is completed by Clerk and overseen by the Chairman. Clerks expenses accompanied by appropriate receipts and checked by Chairman.</p>	Existing procedures adequate. Recommend timesheets are submitted monthly to the Chairman and Finance Committee Chairman.
VAT	Failure to reclaim	L	<p>FRs set out the requirements. Clerk adopts a system to diarise reminders. Reclaims are reconciled with cash book.</p>	Existing procedure to be reviewed.

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2. 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 unexpected circumstances	M	The Councils everyday working files are kept online by way of a remote cloud system. Necessary paper records are retained in accordance with NPC's retention policy as well as on the website. Clerk has copy of all access passwords. In the event of the Clerk being indisposed a locum will be arranged. Alternative meeting rooms are available in the village. Contingency, when legislation permits, use of 'zoom' video conference facilities.	Review procedures annual
Council records – electronic	Loss through <ul style="list-style-type: none"> ▪ theft or fire ▪ damage corruption or loss of laptop 	L M	NPC electronic records are stored on a password protected council owned laptop at the Clerks home. New laptop/updated software to be secured at least five-yearly.	Existing procedure adequate.
Council records - paper	Loss through <ul style="list-style-type: none"> ▪ theft ▪ fire ▪ damage 	L L L	NPC's everyday working files are kept online by way of a remote cloud system. Necessary paper records are retained in accordance with NPC's retention policy and on the website. Old files stored in a locked storage container at Manor Fruit Farm and covered by ours/hall insurance. Clerk's home office has dedicated storage with appropriate insurance.	Existing procedure adequate.
Data protection GDPR	<ul style="list-style-type: none"> ▪ Policy provision ▪ Non-compliance with GDPR 	L L	Data protection requirements stated in the Council's Standing Orders. Ensure Employees and Councillors receive training and are aware of their responsibilities. Annual registration of Information Commissioner's Office maintained.	Existing procedure adequate. Provide training where necessary.

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Employees	<ul style="list-style-type: none"> ▪ Loss of key personnel ▪ Fraud by staff ▪ Unlawful action taken by staff ▪ Breach of Health & Safety 	<p>M</p> <p>L</p> <p>L</p> <p>M</p>	<p>Proactive management to ensure employees are well motivated and respected. Contingency arrangements and funding in place to provide adequate cover in the event of employee absence.</p> <p>Policies in place to address staff grievances and annual appraisals taking place. NPC employees to be included in a suitable fidelity guarantee insurance in accordance with the FRs. Employees made aware of their responsibilities for health and safety, NPC H&S policy and training provided as required. Clerk provided with relevant training, reference books, access to assistance and legal advice require to undertake the role. Regular contact with Chairman.</p> <p>All activity and payments within the powers of NPC to be resolved and minuted at Full Parish Council meetings.</p>	<p>Existing procedure adequate</p> <p>Chairman to maintain regular contact with all employees. Monitor working condition safety requirements and insurance regularly. Training provided.</p>
Freedom of information Act	<ul style="list-style-type: none"> ▪ Failure to recognise requests and/or comply adequate 	<p>L</p> <p>L</p>	<p>Provide support to Clerk in provision of information if FOI request received.</p>	<p>Monitor and report any impacts of request made under the FOI Act</p>
Insurance	<ul style="list-style-type: none"> ▪ Inadequate cover ▪ Expensive policy ▪ Lack of compliance ▪ Fidelity guarantee compromised 	<p>L</p> <p>L</p> <p>L</p> <p>L</p>	<p>An annual review is undertaken (before policy renewal) of all insurance arrangements in place:</p> <p>Ensure asset register is up to date.</p> <p>Ensure compliance measures are in place.</p> <p>Ensure fidelity checks are in place.</p>	<p>Existing procedure adequate.</p> <p>Asset register to be fully reviewed.</p>
Legal powers	<p>Illegal or unlawful activity or payments</p>	<p>L</p>	<p>All activity and payments within the powers of NPC to be resolved and minuted at Full Parish Council meetings.</p>	<p>All activities and payments minuted.</p>
Meeting location	<ul style="list-style-type: none"> ▪ Inadequate ▪ Breach of H&S 	<p>L</p> <p>L</p>	<p>NPC meetings are held in Royal British Legion Hall. Premises and facilities are considered to be adequate for the Clerk, Councillors and Public who attend from H&S and comfort aspects. The Venue is managed by Royal British Legion Committee who are responsible for its insurance and risk assessments.</p>	<p>Existing location adequate.</p>

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3. ASSETS

Subject	Risk(s) Identified	H/M/L	Management /Control of Risk	Review/Assess/Revise
Maintenance	Poor performance of assets or amenities	M	An asset register is kept up-to-date and insurance is held at the appropriate level for all items. All assets owned by NPC are regularly reviewed and maintained. All repairs and relevant expenditure for repair is actioned/authorised in accordance with the correct NPC procedures. Weekly inspections of play area and gym equipment carried out and annual inspections by RoSPA registered company. Any defects highlighted actioned accordingly.	Existing procedure adequate. Asset register needs full review.
Noticeboards/ Bus shelters/ SIDs/ Entrance planters/ Finger posts etc	<ul style="list-style-type: none"> ▪ Risk/damage/injury to third parties ▪ Road safety ▪ Need for replacement ▪ Deployment of SIDs 	L	NPC has ten notice boards sited around the Parish which are looked after by Councillors.	Existing procedure adequate.
		L	All locations have approval by relevant parties and insurance cover is in place.	Review adequacy at least every five years.
		L	Speed Indicator Device (SID) operating instructions and appropriate training provided for volunteer operators as determined by specific SID	SID and Vehicle Activated Sign (VAS) currently operated and managed by separate Speedwatch group.
		L	H&S risk assessment.	

4. LIABILITY

Subject	Risk(s) Identified	H/M/L	Management /Control of Risk	Review/Assess/Revise
Employer Liability	Non-compliance with employment law	L	Insurance in place. Undertaken adequate training and seek advice from NALC/SLCC as appropriate. Seek professional support for specialist areas of responsibility.	Existing procedures adequate.
Legal liability	<ul style="list-style-type: none"> ▪ Lack of clarity of legality of activities ▪ Inaccurate reporting via Minutes ▪ Lack of document control 	L	Clerk to clarify legal position on proposals and to seek advice if necessary.	Existing procedures adequate.
		L	Parish Council always received and approves Minutes at monthly meetings.	
		L	Retention of document policy in place. Seek professional support for specialist areas of responsibility.	

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Legal powers	<ul style="list-style-type: none"> ▪ Illegal activity or payments ▪ Working parties taking decisions 	L L	All activity and payments made within the powers of NPC (not ultra vires) and to be resolved and clearly minuted. Ensure working parties understand only the Parish Council can make decisions.	Existing procedures adequate.
Minutes/Agenda/ Notices/Statutory documents	<ul style="list-style-type: none"> ▪ Inaccurate minutes ▪ Unlawful actions ▪ Public notice not given sufficient notice ▪ Missing documents ▪ Business not conducted correctly 	L L L L L	Minutes and agenda are produced in the prescribed manner by the Clerk according to legal requirements. Minutes are approved and signed at the following Council meeting. Minutes and agenda are displayed according to legal requirements, on noticeboards and NPC website. Business conducted at Council meetings is managed by the Chair and advised by the Clerk.	Agenda & Minutes regularly posted on NPC website. Members adhere to Code of Conduct.
Public liability	Risk to third party, property or individuals	L L	Insurance is in place. Risk assessments regularly carried out to comply with requirements if necessary.	Existing procedures adequate.

5. COUNCILLORS' PROPRIETY

Subject	Risk(s) Identified	H/M/L	Management /Control of Risk	Review/Assess/Revise
Members Interest	<ul style="list-style-type: none"> ▪ Conflict of interest not declared ▪ Register of Members interests 	M M	Councillors are solely responsible for the completion and submission of their Register of Members Interests and that it is a legal requirement; it is not the Council's responsibility. Councillors have a duty to declare any interests at the start of the meeting, reminder on the agenda. It is not the responsibility of members or the Clerk to cajole a member with a potential interest to actually declare it; it is the sole responsibility of the councillor concerned. Register of Members Interest forms to be reviewed regularly by Councillors.	Check understanding of requirements as new councillors are appointed. Members to take responsibility themselves to update the Register.

	Date	Minute ref
Reviewed: Finance and Governance committee		
Reviewed: Full Council		