

Sancreed Parish Council

Risk Register

ADOPTED February 2023

Risk is the threat that an event or action will adversely affect an organisation’s ability to achieve its objectives and 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.

This document has been produced to enable the Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them. In conducting this exercise, the following plan was followed.

- Identify the areas to be reviewed
- Identify what the risks may be
- Evaluate the management and control of risk and record findings
- Review, assess and revise as necessary

Subject	Risk Identified	Risk Frequency Level (H/M/L)	Risk Impact Level (H/M/L)	Management/control of risk	Action (Review/Assess/Review)
Administration:					
Business Continuity	Council not being able to continue business due to unexpected circumstances	M	M	Standing Orders allow for urgent action between meetings	Ensure all Council processes are followed
Clerk	Long term absence or loss of Clerk	L	M	Files and records are kept at the Clerk’s house In the event of the Clerk not being able to attend the meeting one of the Councillors can stand in for the Clerk and take the minutes Recruitment process is in place	Retain membership of CALC Carry out annual review

				CALC available for advice on appointment of interim Clerk if needed	
Council Paper Records	Loss through theft, fire or damage	L	M	Current papers are stored at the Clerk' home Old paper minutes and other important documents that are required to be kept need to be deposited at the Cornwall Record Office	Arrange to take minutes to Kresen Kernow
Councils Electronic Records	Loss through damage, fire or corruption of computer	M	M	Records are stored on a computer with anti-virus protection and back up files are kept on a USB stick/external hard drive	Existing procedure is adequate
General Data Protection Regulations	Failure to handle documents correctly Freedom of Information request	L M	L L	Policies are in place in line with GDPR legislation Council are aware that there is an entitlement to request information and have a Freedom of Information Policy and Subject Access Request Policy in place and is registered with the ICO	Review policies as per Policy Review Schedule Monitor & report impact of requests made under FOI / SAR Review policies as per Policy Review Schedule
Legal Liability	Injury to Councillors or employee Damage to third party property or injury to individuals due to service provided by Council	L L	L H	Personal Accident, Employer's Liability and Public Liability included in insurance cover which is reviewed annually Public Liability & Employers Liability are included in insurance cover which is renewed annually	Existing procedure is adequate Existing procedure is adequate

Legal powers	Illegal decisions made	L	M	All activities & payments made within the powers of the Parish Council are resolved and clearly recorded in the minutes Clerk can clarify the legal position from CALC/NALC if needed	Existing procedure is adequate Retain CALC membership
Meeting location	Adequacy	L	L	Meetings are held on the third Tuesday of the month in Sancreed	Existing procedure is adequate
	Health and safety	L	L	Health and safety is considered adequate	
Minutes & Agendas	Failure to ensure legal, timely and accurate reporting	L	M	Minutes and agendas are produced in the prescribed method and adhere to legal requirements Minutes are approved and signed off at the next meeting Minutes and agendas are displayed according to legal requirements (including the Transparency Code)	Existing procedure is adequate.
Communications	Parish Council email unavailable	M	L	Check emails daily	Existing process adequate
Communications	Parish Council website unavailable	M	L	Check website weekly	Existing process adequate
Assets:					
Asset Register	Not enough insurance	L	H	Asset Register reviewed and updated annually	Carry out annual review
Sancreed - The Glebe Includes: seat, goalposts, swings & poo bin	Damage – wear and tear, accidental or malicious	M	M	Area checked regularly for slip/trip hazards. Regular visual inspection of the area and equipment by the Councillors and reported to the Clerk.	Current process is adequate
	Injury to people	L	H		
	Trees – falling branches	L	H		

Sancreed – bus shelter	Damage – wear and tear, accidental or malicious Injury to people	M M	M H	Area checked regularly for slip/trip hazards. Regular visual inspection by the Councillors and reported to the Clerk.	Current process is adequate.
Sancreed – noticeboard	Damage – wear and tear, accidental or malicious Injury to people	L L	L L	Regular visual inspection by the Councillors and reported to the Clerk.	Current process is adequate.
Sancreed – two seats by the church	Damage – wear and tear, accidental or malicious Injury to people	M M	M M	Area checked regularly for slip/trip hazards. Regular visual inspection by the Councillors and reported to the Clerk	Current process is adequate.
Drift – car park	Damage – wear and tear, accidental or malicious Injury to people Trees – falling branches	M M L	M H L	Area checked regularly for slip/trip hazards. Regular visual inspection by the Councillors and reported to the Clerk.	Current process is adequate.
Drift - noticeboard	Damage – wear and tear, accidental or malicious Injury to people	L L	L L	Regular visual inspection by the Councillors and reported to the Clerk.	Current process is adequate
Drift - seat	Damage – wear and tear, accidental or malicious Injury to people	M M	M M	Area checked regularly for slip/trip hazards. Regular visual inspection by the Councillors and reported to the Clerk.	Current process is adequate.
Newbridge - noticeboard	Damage – wear and tear, accidental or malicious Injury to people	L L	L L	Regular visual inspection by the Councillors and reported to the Clerk.	Current process is adequate.

Newbridge - seats	Damage – wear and tear, accidental or malicious	M	M	Area checked regularly for slip/trip hazards.	Current process is adequate.
	Injury to people	M	M	Regular visual inspection by the Councillors and reported to the Clerk.	
Newbridge – vehicle activated signs (VAS)	Damage – wear and tear, accidental or malicious	M	L	Regular visual inspection by the Councillors and reported to the Clerk.	Current process is adequate.
	Injury to people	L	M		
Footpath maintenance	Danger of footpaths not maintained – risk of injury	M	M	Footpaths maintained per agreed schedule.	Current process is adequate.
	During maintenance of footpaths – risk of injury	L	L	Contractor to hold public liability insurance.	
Employer’s responsibilities:					
Contract of Employment	Non-compliance with Employment Law	L	<	Contract of employment should be issued when a new Clerk starts, including associated policies, with an annual appraisal carried out and documented	Carry out annual appraisal Ensure Council has all relevant employment policies
Contractors	Not properly insured	L	H	Request copies of all contractors Public Liability Insurance and, where relevant, Risk Assessments Ensure contracts issued and returned in timely fashion once contract agreed	Review annually
	No contract in place	L	H		Review as necessary
Employer liability	Non-compliance with Employment Law	L	M	Undertake training and seek advice when needed	Existing procedure is adequate
Financial Matters:					
Accounting	Non standard and / or non compliant records kept	L	M	The Clerk / RFO enters details of each invoice on the cashbook when payment has been authorised	Existing procedure is adequate

				Annual checks are carried out by the Internal Auditor	
Annual Return	Not submitted within the time limit	L	M	Annual Return completed and signed by the Council, submitted to the Internal Auditor for completion Certificate of Exemption applied for and accounts displayed with Public Rights Notice as required	Existing procedure is adequate
Banking	Payment arrangements	L	L	All expenditure is presented to Council monthly for approval backed up by invoices Where possible payments are made online	Existing procedure is adequate
Employer liability	Inadequate checks	L	M	Council's Financial Regulations set out relevant requirements	Existing procedure is adequate
Cash	Loss through theft or dishonesty	L	L	Council has no petty cash Any transactions by the Clerk are backed up by receipts and reimbursed quarterly	Existing procedure is adequate
Election costs	Risk of contested election	M	H	Risk is higher in an election year Maintain an adequate earmarked reserve	Review adequacy of reserves annually
Financial Control	Inadequate checks	L	M	BACS payments are processed by the Clerk and authorised by a Councillor All Financial commitments must be agreed by Councillors before payment	Existing procedure is adequate Review annually

				Annual checks are carried out by the Internal Auditor Six monthly checks are carried out on the bank reconciliations by a Councillor	
Insurance	Inadequate cover Risk to third party, property or individuals	L L	M M	Annual review of policy undertaken prior to renewal Public liability insurance is essential	Review cover annually
Payroll	Incorrect calculations and/or illegal expenditure	L	M	PAYE calculations are included with the payments schedule All payments must be dual authorised	Existing procedure is adequate
Precept	Adequacy of precept to allow Council to carry out its statutory duties	M	H	Sound budgetary recording, reporting and planning to back up the Council's annual budget Precept is an agenda item at the December meeting. Quarterly budget update is provided by the Clerk / RFO to Council meetings	Existing procedure is adequate
VAT	Failure to record Failure to reclaim	L L	L L	The Clerk / RFO enters details of each invoice on the cashbook when payment has been authorised The Clerk / RFO makes a claim each year for the previous financial year A list of relevant invoices has to be submitted with the claim so amounts are checked when this list is drawn up	Existing procedure is adequate

LMP	Adequacy of grant	M	M	Footpaths officer to regularly review footpaths usage and maintenance and to recommend any changes to council.	Current process is adequate.
	Application successful	L	M		
	Funding received	M	M	Clerk to submit any recommended changes to Cornwall Council. Clerk to submit necessary paperwork on time. Clerk to monitor bank account and report in normal manner.	
Land	Payment of lease	L	L	Follow finance procedures as for other payments	Current process is adequate.
Members responsibilities:					
Members interests	Conflict of Interest	M	M	Councillors have a duty to declare any interest at the start of the meeting and ensure it is recorded	Existing procedure is adequate
	Non-compliance with statutory requirements	M	M	Register of Interests forms should be reviewed annually	Members to let Clerk know of any changes
Reputation	Reputational damage due to poor decision making or poor implementation	L	M	Business conducted at the Council is managed by the Chair with the Clerk's advice on process Act according to the Code of Conduct & adopted policies Ensure Councillors training is up to date	Review policies as per Policy Review Schedule Review Councillors training