



Risk Register

Brantham Parish Council

Approved: 24 January 2024
Version no. 9.0

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| ADOPTION DATE: | 24 January 2024 |
| MINUTE NO. | FC 01.24.09 |
| VERSION NO. | 9 |
| REVIEW DATE: | January 2025 |

Brantham Parish Council

Risk Register

| Risk | Those At Risk | Internal Controls | Future Controls | Risk Level | Responsibility | Annual Review date | Comments |
|---|------------------------|---|---|---------------|--|-----------------------------------|----------|
| | | | | | | *As part of Budget process | |
| ASSETS | | | | | | | |
| Protection of assets | BPC | Insurance in place | Review insurance adequacy | High | FC | VH and BLC– June | |
| | | Asset register in place | Review assets/replacement costs | Low | FC | Parish Council - Oct October * | |
| Maintenance of assets | BPC/Public | Regular inspection of play areas | Record inspections To be dated. | Medium | Clerk/litter pickers | October * | |
| | | Safety inspection of play areas | Inspection report reviewed | Medium | Clerk/SCC/Recreation sub-committee | August/September | |
| | | Ad hoc inspection of other assets | Repairs and relevant expenditure is actioned/authorised in accordance with the correct procedures | Medium | Clerk/Footpaths & Services sub-Committee | October * | |
| Damage to third party property or individual | Members of the public | Insurance (including public liability) in place | Review insurance adequacy | Medium | FC | October * | |
| Adequacy and safety of meeting locations | BPC, employees, public | Insurance in place including Public liability | Venue risk assessment – annual | Medium | | October * | |
| Adequacy and safety of play areas | Public | Regular inspection of play areas | Record inspections | Medium | Play inspection company | Annually | |
| EMPLOYMENT | | | | | | | |
| Breach of employment law | BPC/Employees | Employment contracts | Annually review employment contracts | Medium | FC | February | |

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| | | HMRC PAYE returns | Health & Safety assessment | Medium | FC | As per situation | |
| | | Employment Law updates | | Medium | FC | As per situation | |
| Resignation, death or long-term illness of Clerk/RFO | BPC/Parishioners | Handover arrangements in place | Files maintained | High | Clerk/RFO | October * | |
| | | Passwords shared with identified Cllrs | | High | Clerk/RFO/Cllrs | October * | |
| | | Cloud storage used for documents | | High | Clerk | October * | |
| Qualifications | Clerk | CILCA currently held | Training plan in place for current/future staff | Low | Clerk | Ad hoc | |
| Staff work overload | Clerk | Monitor workload | Working reviews | Medium | Clerk/Chair | Ad hoc | |
| | | Review performance | Appraisal policy implemented | Medium | Clerk/Chair | Annually | |
| Salaries | Clerk/Staff | Check contracts/hours | Keep payroll team updated | Low | | Ad hoc | |
| | | PAYE system in place | Keep payroll team updated | Low | | Ad hoc | |
| | | Verify salary scale and agreed pay-rate with reference to contract and scales from NALC | Review NALC pay awards annually | Low | Clerk/Staff | Annually | |
| | | Review NMW arrangements | Update payroll provider accordingly | Low | Staff | Annually | |
| Resignation or death of Councillor | BPC/Parishioners | Project/Committee information shared with Clerk regularly | | Medium | | October * | |
| | | Clerk copied in to BPC correspondence | | Medium | | October * | |
| Fraud by Staff | BPC/Public | Fidelity Guarantee value | Reviewed on annual basis | Low | FC/Clerk/Council | March | |

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| Use of contractors | BPC/Public | Insurance documents checked | Review insurance documents annually | Medium | Clerk/Councillors | Each year as per start of contract | |
| | | Terms of service agreement in place | Document updated in line with work requirements | Medium | Clerk | As required | |
| SERVICES | | | | | | | |
| Failure to provide services | BPC/Parishoners | Review of service provision | | Low | Clerk/Footpath & Services Sub-Committee | October * | |
| | | Service contracts/standards | | Low | Clerk/ Footpath & Services Sub-Committee | October * | |
| ACCOUNTABILITY | | | | | | | |
| Loss of cash / banking arrangements | BPC/Employees | Financial Regulations | Review receipting process | Low | FC | October * | |
| | | Bank reconciliations | Bank reconciliation report circulated | Low | FC | October * | |
| | | Insurance in place | Review insurance adequacy | Low | FC | By 01 March (BLC, VH) By 01 Oct (BPC) | |
| | | Access to Online Statements | Log-in details shared with agreed staff/CIIs | Low | FC | October * | |
| | | Debit card stored securely | | Low | Parish Clerk | October * | |
| Keeping financial records | BPC | Financial Regulations | Regulations reviewed annually | Low | FC | February | |
| | | Quarterly reporting | Reports submitted | Low | RFO | October * | |
| | | Internal Audit | Audit preparations undertaken | Low | FC/RFO | May | |
| | | | Audit submitted within deadline | Low | RFO | By 01 June | |
| | | | Internal Audit Action Plan completed if necessary | Low | RFO | July | |
| Breach of powers | BPC | Scheduled in Minutes | | Low | Clerk | October * | |

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| Breach of VAT Regs | BPC | Annual returns | | Low | RFO | October * | |
| | | VAT invoices/receipts retained for 6 years | | Low | RFO | October * | |
| | | Internal Audit | Audit submitted | Low | RFO | By 01 June | |
| Precept | BPC/Parishoners | Budget setting in process | Budget preparations undertaken | Medium | RFO and FC | October * | |
| | | Precept Requested | Agreed at Council | High | Clerk | January | |
| | | Adequacy of precept | Budget setting process | High | FC/Clerk/Council | Nov-Jan | |
| Validating Section 137 grants (N/A due to use of General Power of Competence) | BPC | Written requests presented to Council | | Low | FC | October * | |
| GOVERNANCE | | | | | | | |
| Standing Orders | BPC | Adopted tailored SO | Annual Review | Low | BPC/Clerk | March | |
| Financial Regulations | BPC | Adopted tailored FR | Annual Review | Low | BPC/Clerk | March | |
| Accuracy of Minutes | BPC | Verified at Council | | Medium | BPC | October * | |
| Responding to Rights of Inspection | BPC | Appropriate Notices Displayed | Verify procedure for dealing with a request | Medium | Clerk | October * | |
| Minutes | BPC | Accurate and Legal | Reviewed at next scheduled meeting | Low | Clerk/BPC | Monthly | |
| Members interests | BPC | Code of conduct adopted | Review and update. | Low | Clerk | Annually | |
| | | Conflict of interest | Update Dol – at each meeting | Low | Clerk/BPC | Monthly | |
| Document control | BPC | Filed correspondence | | Medium | Clerk | October * | |
| | | Internal Audit | | Medium | RFO | October * | |
| | | Access to records on Council computer | Password to computer files to be held in sealed envelope | Low | Clerk/Chair | Ad hoc | |
| | | Loss of electronic records | Office 365 used | Low | Clerk/BPC | Ad hoc | |
| | | Loss of paper records | Appropriate locks installed | Low | Clerk/BPC | Ad hoc | |
| | | | Insurances in place | Low | Clerk/BPC | Ad hoc | |

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| Loss of Council paper records through theft, fire, damage | BPC | Village Hall Insurance Clerk's home insurance | Insurances checked and renewed | Low | FC | February and June | |
| | | Village Hall Insurance Clerk's home insurance Regular electronic back ups | Appropriate locks installed | Low | Parish Clerk RFO | October * | |
| Loss of Council electronic records through theft, fire, damage or corruption of computer | BPC | Appropriate locks installed | Back ups of electronic data made regularly | Low | Parish Clerk RFO | October * | |
| | | Appropriate locks installed | Appropriate locks installed | Low | Parish Clerk RFO | October * | |
| Data Protection | BPC/Public | Registered with ICO as Data controller | Renewal on DD mandate | Low | Clerk | March | |
| | | Carried out data audit | Review legislation | Low | Clerk | Ad hoc | |
| General Data Protection Regulations | BPC/Public | Paper documentation kept in locked conditions | | Low | Clerk | October* | |
| Breach of GDPR | BPC/Public | Electronic documents encrypted when necessary | | Low | Clerk | October* | |
| | | Privacy policies in place | | Low | Clerk | October* | |
| | | Documentation stored appropriately | | Low | Clerk | As per situation | |
| Freedom of Information Requests | BPC | | | | | | |