

UPTON BISHOP PC - RISK REGISTER as at 1 JULY 2023						
Impact	Likelihood	Impact score	Risk rating	Actions Required	Responsibility	Completed
	score (1-3)	(1-3)	(high, medium, low)			
Inconvenience to users of assets. Cost of repair and replacement of assets.	1	2	Low (3)	1) Ensure adequate insurance in place. Value increased annually by RPI. 2) Damage to assets to be reported promptly by encouraging Lengthsman and parishoners to report incidents.	1) Clerk 2) Chair	1) Yes 2) Yes
Business interruption of Parish Council due to loss of knowledge and experience of Clerk. Potentially impacting all functions of the Parish Council.	2	3	Medium (5)	1) Ensure at least one Councillor in addition to the Clerk knows the systems used and has access to passwords, back ups, emails etc. 2) Password to be kept in sealed envelope with Chair. 3) Files backed up to One Drive, external hard drive providing further back up. 4) Clerk to maintain regularly updated 'handover' protocols	1) Clerk/Chairman 2) Clerk 3) Clerk 4) Clerk	1) Yes 2) Yes 3) Yes 4) Ongoing
Potential lack of ability to complete council activities pertaining to an affected working group.	2	1	Low (3)	Ensure each individual working group has an appointed lead and deputy, who both know, and have access to, systems and projects or have a written record of processes, passwords etc.	Chair of working groups	Ongoing
Loss of capacity to maintain website and social media posts	2	1	Low (3)	Clerk to be trained on the website, Twitter and Facebook	Clerk	Yes
Complete or partial loss of financial capacity and inability to settle debts. Interruption of any cost-depedant activity of the Parish Council, including hiring of venue to hold meetings.	1	3	Low (4)	1) Clerk/RFO to generate detailed annual budget late Autumn assessing previous years income and expenditure and forecasting anticipated expenditure 2) Draft budget to be discussed at full meeting and published to public 3) Budget to be amended as required before approval 3) Ensure at least 50% of income is held in reserves	RFO	Yes/Ongoing

Complete or partial loss of financial capacity and inability to settle debts. Interruption of any cost-depedant activity of the Parish Council, including hiring of venue to hold meetings.	1	3	Low (4)	1) Two of four signatories must authorise every payment 2) Clerk not to be signatory 3) Ensure quarterly checks by Council and 6-monthly by Internal Auditor 4) Use bank with industry-leading fraud prevention practices	Clerk/Councillors	Yes/Ongoing
Lack of compliance with finacial obligations and risk of fine.	1	2	Low (3)	1) Implementation of effective monitoring of systems and accounts by Council and Internal Auditor	Clerk/Council/Intern al Auditor	Yes/Ongoing
Loss of ability to access funds. Interruption of any cost-depedant activity of the Parish Council, including hiring of venue to hold meetings. Lack of compliance with finacial obligations and risk of fine.	1	2	Low (3)	1) Authorise more than three Councillors as signatories. One councillor should not be a signatory so they can take an independent auditing position. 2) Establish protocol for departing Councillors which includes removal of signatory authority	Council	Yes/Ongoing
Complete or partial loss of financial capacity and inability to settle debts. Interruption of any cost-depedant activity of the Parish Council, including hiring of venue to hold meetings.	1	3	Low (4)	1) Ensure adequate insurance is in place 2) Implementation of effective monitoring of systems and accounts by a minimum of two councillors and Internal Auditor (3) Dual signature of payments (cheques/online) (4) Stringent password strategy adopted	Clerk/RFO and Council	Yes/Ongoing
Financial fine/settlement/payment	1	2	Low (3)	1) Lengthsman position to be advertised and recruited annually; provide an annual contract for services 2) For all other contractors, seek quotations for projects/tasks and issue work orders for works awarded. Ensure compliance with appropriate legislation.	Clerk	Yes/Ongoing
Financial fine/settlement/payment	1	2	Low (3)	1) Ensure adequate insurance is in place 2) Maintain adequate Health and Safety Policy	Clerk	Yes/Ongoing
Financial fine/settlement/payment	1	1	Low (2)	1) Ensure adequate insurance is in place 2) Ensure regular inspections and maintenance of all pathways	Clerk / Footpaths Officer	Yes/Ongoing

Financial fine/settlement/payment	1	2	Low (3)	<ul style="list-style-type: none"> 1) Ensure adequate insurance is in place 2) Ensure contractor has public liability insurance and is suitably trained and qualified to undertake the work awarded 3) Keep copies of any necessary documents on file 	Clerk	Yes/Ongoing
Financial fine/settlement/payment	1	2	Low (3)	<ul style="list-style-type: none"> 1) Ensure adequate insurance is in place 2) Ensure all volunteers are trained appropriately for the work being undertaken, issued with the correct PPE and supervised if considered necessary 3) Maintain a register of all volunteers and ensure all volunteers names, date and details of projects are recorded 	Clerk	Yes/Ongoing
Financial fine/settlement/payment	1	1	Low (2)	<ul style="list-style-type: none"> 1) Ensure employee has annual appraisal 	Chair	Yes
Financial fine/settlement/payment	1	1	Low (2)	<ul style="list-style-type: none"> 1) Adopt and abide by the Code of Conduct 2) Publish a complaints procedure for action to be taken within the Parish Council and the procedure for reporting incidents to the Monitoring Officer 	Clerk	Yes
Potential lack of ability to complete council activities and loss of information/data	1	2	Low (3)	<ul style="list-style-type: none"> 1) Ensure regular back ups are taken and one kept off site at all times. One Drive enabled for immediate and constant backups, and hard drive connected for regular automated backups. 2) Ensure the computer is protected against malware and all updates installed 3) Maintain cyber protection insurance 4) Review replacement of PC every 3 years. 	Clerk	Yes/Ongoing

Lack of compliance	1	1	Low (2)	<ul style="list-style-type: none"> 1) Maintain membership of Herefordshire Association of Local Councils 2) Ensure Clerk is qualified 3) Clerk clarifies legal position on any new proposal 4) Legal advice to be sought where necessary 	Clerk/Council	Yes
Lack of compliance	2	1	Low (3)	<ul style="list-style-type: none"> 1) Undertake annual data audit 2) Train Clerk and Councillors as necessary on requirements of GDPR compliance 3) Implement monitoring systems to ensure compliance 4) Implement system to monitor data kept by Councillors and procedure for deleting data following resignation 5) Archive old records with Hereford Archive Centre (papers and memory stick as felt necessary). 	Clerk/Council	TO DO
Lack of compliance	1	1	Low (2)	<ul style="list-style-type: none"> 1) Council meets at least bi-monthly and approves minutes of previous meeting 2) Draft minutes are received and published in the interim 	Clerk	Yes
Lack of compliance	1	1	Low (2)	<ul style="list-style-type: none"> 1) Data storage to comply with Data Protection Act 2018 2) Leases and legal documents to be held in Clerk's possession in lockable, fire-proof cabinet 	Clerk	Yes
Financial claim for damages and lack of legal compliance	1	2	Low (3)	<ul style="list-style-type: none"> 1) Membership of HALC for employment law advice 2) Maintain adequate Employment policies 	Council	Yes
Lack of legal compliance, potential fine from HMRC	1	2	Low (3)	<ul style="list-style-type: none"> 1) Outsource payroll to qualified and insured third party professional 2) Internal auditor to carry out six-monthly checks 	Council	Yes

Financial claim for injury/damages. Reputation of council.	1	1	Low (2)	1) Carry out visual health and safety risk assessment prior to each meeting and record accordingly 2) Maintain adequate Health and Safety policy 3) Have in place procedures for anti-social behaviour	Clerk	Yes
Financial claim for injury/damages. Reputation of council.	1	2	Low (3)	1) Ensure risk assessments are carried out for all projects and appropriate support and equipment provided.	Clerk	Yes/Ongoing
Penalty from non-compliance	2	1	Low (3)	1) Ensure all Councillors have Declarations of Interest lodged with Herefordshire Council 2) Declarations of Interest for agenda items to be declared at each meeting and signed accordingly in the register	Clerk	Yes
Bringing the council into disrepute	1	2	Low (3)	1) Implement training programme for Councillors and Clerk. Any non-compliance with the adopted code of conduct to be recorded with significant breaches reported to Monitoring Officer.	Clerk	Yes/Ongoing

Adopted at a full council meeting on 13 July 2023

Review in 2028