

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

Rogate Parish Council (hereafter referred to as RPC) recognises that it has a responsibility to manage risks effectively in order 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.

RPC 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.

RPC 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

RPC’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 RPC is recorded in RPC’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.

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Responsibility for Risk Management

RPC 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 RPC’s objectives and community needs. This policy has the full support of RPC 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 RPC and the Clerk are required to ensure that council resources are not wasted as a result of uncontrolled risk. RPC is responsible for ensuring that this procedure is adhered to. Professional support to be sought for specialist areas of responsibility.

RISK ASSESSMENT

	4 Very High	3 High	2 Medium	1 Low
4 DISASTER Significant service failure / total loss of public confidence / fatality / major financial crisis.	RED 16	RED 12	AMBER 8	GREEN 4
3 MAJOR Significant service disruption / serious public criticism / serious injury / large financial cost.	RED 12	RED 9	AMBER 6	GREEN 3
2 NOTICEABLE Some service delivery disruption / reduced public confidence / minor injury / unplanned financial cost.	AMBER 8	AMBER 6	GREEN 4	GREEN 2
1 MINIMAL Minor service delivery disruption / adverse public comment / no injury / low financial cost.	GREEN 4	GREEN 3	GREEN 2	GREEN 1

Key

<u>Score</u>	<u>Colour</u>	<u>Action</u>
1 to 4	GREEN	Monitor
5 to 8	AMBER	Keep under review
9 to 16	RED	Need further mitigation or contingency plan

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

Created:	January 2021		
Approved	08 February 2021	Full Council minute:	15b)
Last reviewed	25 March 2024	Finance Committee minutes:	11c)

Risk Number	Subject	Risk(s) Identified	Management /Control of Risk	Responsibility	Assessment <u>without</u> controls in place			Further Control Measures in place	Responsibility	Assessment <u>with</u> controls in place			Comment on adequacy of existing controls.
					Likelihood	Impact	Score			Likelihood	Impact	Score	
2	MANAGEMENT												
2.1	Business continuity	Risk of Council not being able to continue its business due to unexpected circumstances	The Councils everyday working files are kept online by way of a remote cloud system. Necessary paper records are retained in accordance with RPC's retention policy as well as on the website. 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. Chairman has copy of all access passwords.	Clerk	2	2	4			1	2	2	Review procedures annual
2.2	Council records – electronic	Loss through: * theft or fire * damage, corrupted or loss of RPC laptop	RPC's everyday working files are kept online by way of a remote cloud system. Necessary paper records are retained in accordance with RPC's retention policy and on the website. Old files stored in a locked cabinet in Rogate Village Hall loft and covered by ours/hall insurance. Clerk's home office has dedicated storage with appropriate insurance. RPC electronic records are stored on a password protected council owned laptop at the Clerks home.	Clerk	2	3	6	Chairman has copy of all access passwords. New laptop/updated software to be secured at least five-yearly.	Clerk	2	2	4	Existing procedure adequate.
2.3	Council records - paper	Loss through * theft * fire *damage	The Councils everyday working files are kept online by way of a remote cloud system. Necessary paper records are retained in accordance with RPC's retention policy as well as on the website. RPC's everyday working files are kept online by way of a remote cloud system. Necessary paper records are retained in accordance with RPC's retention policy and on the website. Old files stored in a locked cabinet in Rogate Village Hall loft and covered by ours/hall insurance. Clerk's home office has dedicated storage with appropriate insurance.		2	2	4			2	2	4	Existing procedure adequate.

2.4	Data protection GDPR	Non-compliance with GDPR	Annual registration of Information Commissioner's Office maintained. Data protection requirements stated in the Council's Standing Orders.	Clerk	2	3	6	Ensure Employees and Councillors receive training and are aware of their responsibilities. gov.' email addresses in use for PC business	Clerk	2	2	4	One Cllr not using .gov email.
2.5	Employees	* Loss of key personnel *Fraud by staff * Unlawful action taken by staff	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. Policies in place to address staff grievances and annual appraisals taking place. RPC 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, RPC 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. All activity and payments within the powers of RPC to be resolved and minuted at Full Parish Council meetings.	Chairman Clerk	3	3	9	Ensure pay banding is correctly aligned to published guidance and pay scales and applied to staff salary. Chairman to maintain regular contact with all employees.	Chairman	2	3	6	
2.6	Freedom of information Act	* Failure to recognise requests and/or comply adequately	Provide support to Clerk in provision of information if FOI request received. Training provided.	Clerk	2	3	6	Monitor and report any impacts of request made under the FOI Act		2	2	4	FOI associated with potentially vexatious complaints requires review of policy
2.7	Insurance	* Inadequate cover * Expensive policy * Lack of compliance * Fidelity guarantee compromised	An annual review is undertaken (before policy renewal) to ensure all insurance arrangements are in place: Ensure asset register is up to date. Ensure compliance with policy measures are in place. Ensure fidelity checks are in place.		2	4	8	FC review of insurance cover and arrangements	FC Chairman	2	2	4	
2.7	Legal powers	Illegal or unlawful activity or payments	All activity and payments within the powers of RPC to be resolved and minuted at Full Parish Council meetings.	Clerk	2	2	4			2	2	4	
2.8	Meeting location	* Inadequate * Breach of H&S	RPC meetings are held in Rogate Village Hall – main room or Pavilion. 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 Rogate Village Hall Committee who are responsible for its insurance and risk assessments.	Clerk	1	2	2			1	1		

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3	ASSETS												
3.1	Maintenance	failure to maintain assets and amenities lead to failure of asset, poor performance, damage or injury to third parties	<p>Up to date and comprehensive asset register.</p> <p>Condition of assets owned by RPC are regularly reviewed.</p> <p>Regular inspections of play area and gym equipment carried out and annual inspections by RoSPA registered company.</p>	Clerk	2	4	8	<p>insurance is held at the appropriate level for all items.</p> <p>All repairs and relevant expenditure for repair is actioned/authorised in accordance with the correct RPC procedures.</p> <p>Any defects highlighted are reviewed and actioned accordingly.</p> <p>Preventative maintenance strategy implemented for playground equipment.</p>	Clerk	2	2	4	
3.2	Asset specific risks	<p>Noticeboards</p> <p>Bus shelters</p> <p>Speed Indicator Device (SID)</p> <p>Entrance planters. etc</p> <p>Finger posts</p>	<p>RPC notice boards sited in the Parish are monitored by Councillors.</p> <p>All locations have approval by relevant parties and insurance cover is in place.</p> <p>Speed Indicator Device (SID) sites approved. Operating instructions and appropriate training provided for volunteer operators as determined by specific SID H&S risk assessment.</p> <p>Planter sited in safe location to enable safe planting and maintenance by volunteers</p> <p>Periodic refurbishment and installation by specialist contractor</p>	Clerk	2	2	4	<p>Board replaced at Rogate Shop to reduce hazard when opening in strong winds.</p> <p>New batteries supplied annually to reduce the demand on volunteers.</p> <p>Unsafe planter location no longer in use and removed west of Rogate</p>	Clerk	2	2	4	

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4	LIABILITY												
4.1	Employer Liability	Non-compliance with employment law	Adequate training undertaken and advice available and sought from NALC/SLCC as appropriate. Seek professional support for specialist areas of responsibility.	Clerk	2	3	6	Insurance in place.	Clerk	2	2	4	Existing procedures adequate.
4.2	Legal liability	Lack of clarity of legality of activities Inaccurate reporting via Minutes Lack of document control	Clerk to clarify legal position on proposals and to seek advice if necessary. Parish Council always received and approves Minutes at monthly meetings. Retention of document policy in place. Seek professional support for specialist areas of responsibility.	Clerk	2	2	4			2	2	4	Existing procedures adequate.
4.3	Legal powers	Illegal activity or payments Working parties taking decisions	All activity and payments made within the powers of RPC (not ultra vires) and to be resolved and clearly minuted. Ensure working parties understand only the Parish Council can make decisions.	Clerk	2	2	4			2	2	4	Existing procedures adequate.
4.4	Minutes/Agenda/ Notices/Statutory documents	Inaccurate minutes Unlawful actions Public notice not given sufficient notice Missing documents Business not conducted correctly	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 RPC website. Business conducted at Council meetings is managed by the Chair and advised by the Clerk.	Clerk	2	2	4			2	2	4	Agenda & Minutes regularly posted on RPC website. Members adhere to Code of Conduct.
4.5	Public liability	Risk to third party, property or individuals	Risk assessments regularly carried out to comply with requirements if necessary.	Clerk	2	3	6	Insurance in place.		2	3	6	Existing procedures adequate.

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5	COUNCILLOR'S PROPRIETY												
5.1	Members Interest	Conflict of interest not declared	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	2	3	6	Check understanding of requirements as new councillors are appointed.	Councillors	2	2	4	
		Register of Members interests	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.	Clerk and Councillors Individual Councillors Councillors	2	2	4	Members reminded by Chairman to take responsibility themselves to update the Register	Chairman	1	2	2	