

RISK REGISTER

A Risk Register is a systematic general examination of working conditions, workplace activities and environmental factors that will enable Ringmer Parish Council to identify any and all potential inherent risks. Ringmer Parish Council will take all practical and necessary steps to reduce or eliminate risks, in so far as is practically and reasonably possible. This document has been produced to enable Ringmer Parish Council to assess the risks it faces and satisfy itself that it has taken adequate steps to minimise them.

KEY: Rating: L = Likelihood, I = Impact, S = Score **Level of Urgency: <10 = Green, 11 – 14 = Amber, above 15 = Red**

	Risks Identified	Management/Control	Rating			Review/Assess	Action By
			L	I	S		
Financial	Inadequate records Financial Irregularities	The Parish Council uses Financial Regulations which set out the requirements based on Model Regulations from NALC	1	3	3	Existing procedure adequate. Review annually.	Clerk/Council
	Lack of commitment by Councillors to the budgetary process	Full Council receives detailed budget estimates. Precept determined on the basis of the budget set. Expenditure against budget is reported at each full Council meeting. Scrutinised by O&F Committee before going to Full Council for approval.	2	4	8	Existing procedure adequate.	Clerk/Council
	Failure to ensure that the annual precept results from an adequate budgetary process	Start consideration of budgetary process at least 3 months prior to submission date of Precept. Checks by Clerk/RFO and O&F Committee.	1	5	5	Existing procedure adequate.	Clerk/O&F Committee
	Inadequate internal controls with regard to monitoring expenditure	Internal Control checks are carried out monthly by the Internal Control Panel (3x Cllrs who are not bank signatories) to ensure effective financial management by Clerk/RFO.	2	3	6	Existing procedure adequate	Clerk/Councillors
	Reserves too high/low	Practitioners Guide advises reserve balance must not exceed the Precept but should be sufficient to allow the Council to operate if the expected precept is not received. Monitored by O&F Committee.	2	4	8	Existing procedure adequate.	O&F Committee

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Financial cont.	Illegal activity or payments	All activity and payments within the powers of the Parish Council to be resolved at Council meetings, as per the Financial Regulations.	1	5	5	Existing procedure adequate.	Clerk/Council
	Fraud by Employees/ Councillors	Ensure level of Fidelity Insurance is adequate and review annually. Payments authorised by two councillors.	1	4	4	Existing procedures adequate	Clerk
	Cash handling	Cash may be received. Cash to be paid into the current account, not petty cash irrespective of the amount.	1	1	1	Existing procedures adequate.	Clerk
	VAT – requirements of HMRC not met	VAT is reclaimed quarterly.	1	5	5	Existing procedures adequate.	Clerk
Business Continuity	Incapacity/Absence of Clerk/ Resignation of Clerk	Designate a person to temporarily act as Clerk in an emergency. A Locum Service is available through the Society of Local Council Clerks or NALC. A Councillor cannot receive remuneration for clerical duties. Locum costs can be expensive.	2	5	10	Existing procedures adequate.	Council
	Loss of services of employee.	Immediately advertise any vacancy (if permanent loss) and, if appropriate, request help from remaining employees to cover temporary loss.	2	5	10	Existing procedure adequate.	Clerk
	Election costs	The Council will allocate £1,500.00 per year . If this is insufficient at any point in time, the shortfall will be met from the general reserve.	3	2	6	Existing procedure adequate.	Clerk/Council

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Insurance	Public Liability (statutory)	Continue existing cover (£10m) and meet terms of the cover.	1	5	5	Existing procedure adequate.	Clerk
	Employers Liability (statutory)	Continue existing cover (£10m) and meet terms of the cover.	1	5	5	Existing procedure adequate.	Clerk
	Money – Loss or theft of funds held	Continue existing cover, updated financial regulations, regular audits, prudent investment.	1	5	5	Existing procedure adequate.	Clerk
	Security of data (IT systems and support)	Any confidential documents are securely destroyed. The Council laptop is password protected and has security protection Microsoft Windows Defender and security tool with built-in antivirus, malware and ransomware. Files are backed up daily off site. Council is registered with the Information Commissioner	2	3	6	Existing procedure adequate.	Clerk/Council
	Failure to retain or secure the necessary number of members for the Council	Clerk to maintain an up-to-date Councillor Attendance Register. The Council has a policy for casual vacancies.	1	5	5	Existing procedure adequate.	Clerk/Council
Legal	Freedom of Information	The Council has adopted the model scheme produced by the Office of the Information Commissioner. Assistance to be sought from Monitoring Officer or NALC as required.	3	1	3	Action any FOI requests in accordance with policy	Clerk
	Governing Policies not up to date	There is a rolling policy review schedule and polices are referred to Council for review as and when necessary.	3	3	9	Existing procedure adequate.	Clerk/Council
	Failure to meet our statutory duties eg. Breach of GDPR and failure to comply with Inland Revenue and HMRC regulations.	A Contract of Employment and Job Description is agreed for the Clerk. Clerk runs payroll using the HMRC Basic Tools. Ensure employee regulations are available and understood by the Clerk. No additional payment to the Clerk without Council approval.	2	4	8	Existing procedure adequate.	Clerk/Council/ Internal Auditor /Internal Control

		Council has a GDPR policy.					
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Governance & Management	Lack of knowledge of or commitment to regulations and legislation	Ensure that a Code of Conduct, Standing Orders and Financial Regulations are in place and are reviewed annually. Highlight essential parts and provide training where relevant. Attend training courses Membership of ESALC, NALC & SLCC.	3	3	9	Existing procedure adequate.	Clerk/Cllrs
	Action by the Parish Council outside its powers laid down by Parliament	Clerk to monitor relevant legislation and report to Council Advice sought from other bodies where required.	2	4	8	Existing procedure adequate.	Clerk
	Notice of meeting	The meeting Agenda is placed on village noticeboards and on the Council's website and Facebook giving the required notice of each meeting. Councillors to receive summons electronically.	4	2	8	Existing procedure adequate.	Clerk
	Accurate and legal Minutes	Minutes are presented to next council meeting for approval. Minutes are produced for all meetings. Draft Minutes are posted on the website.	1	3	3	Existing procedure adequate.	Clerk/Council
	Written communication to third parties - Reputation	All formal written communication/emails should be directed through the Clerk and may be signed by the Chairman or Vice-Chairman when necessary, unless delegated	3	3	9	Existing procedure adequate.	Clerk/Council

	Impact of Public spending cuts	All Councillors to be made aware that priorities must be set on the basis of the financial capacity of the Parish Council to deliver. Attend training where appropriate.	3	2	6	Existing procedure adequate.	Council
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Governance & Management cont.	Lack of engagement by Councillors and Residents on major items of public interest	Take every opportunity to publicise the role of the Parish Council through the website and Facebook. Public Open Forum Sessions are held at start of each Council meeting. Effective use of village noticeboards. Use key issues to raise the profile of the Parish Council and to test parishioners' views. Councillors contact details are available on the website.	3	3	9	Existing procedure adequate.	Clerk/Council
	Lack of knowledge by Councillors on their role, responsibility and accountability	All Councillors to receive a "New Councillor Pack" upon becoming a member of the council. Councillors to attend relevant training courses.	2	5	10	Existing procedure adequate.	Clerk/Council
	Inadequate insurance cover for members and Clerk	Review Risk Assessment by including on the Agenda of Parish Council meetings at least annually. Ensure a Risk Assessment is carried out for all new assets and appropriate insurance cover implemented.	2	5	10	Existing procedure adequate.	Clerk/Council

	Failure to identify, value and maintain all assets of the Parish Council, and ensure that asset and investment registers are complete.	Record and maintain a record of all assets for which the Parish Council is responsible and include in the year end accounts. Arrange for annual review of valuations and arrange for professional valuation where appropriate.	4	2	8	Existing procedure adequate.	Clerk
	Adoption and implementation of appropriate Government legislation	Clerk to have appropriate legislation available. Review liabilities and responsibilities periodically at Parish Council meetings. Clerk to attend training and conferences and to read sector publications to keep up-to-date.	3	3	9	Existing procedure adequate.	Clerk
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Assets and Property	Loss or damage to Assets Risk/damage to third party	An Asset Register is maintained for asset control. An annual review of any assets will be undertaken for insurance purposes. Regular risk checks of Council property. Independent check of equipment in the play area at the recreation ground is instructed annually. Repairs undertaken by competent contractor. Public liability insurance is in place.	3	2	6	Existing procedure adequate.	Clerk/Council
	Allotments: Increase in net expenditure	Review allotment rents annually.	3	1	3	Existing procedure adequate.	Clerk/Council

Next Review Date:	Annually
Reviewed at Full Council:	10th Feb 2026
Reviewed at Full Council:	11th Feb 2025
Reviewed at Full Council:	13th March 2024
Adopted at Full Council Meeting:	14th March 2023