

Bramley Parish Council Risk Register



Version 1.0
Adopted 16th May 2024

"The greatest risk facing a local authority is not being able to deliver the activity or services expected of the Council."

Risk assessment is a systematic general examination of working conditions, workplace activities and environmental factors that will enable the employer to identify any and all potential risks inherent in the place or practices. Based on a recorded assessment the employer should then take all practical and necessary steps to reduce or eliminate the risks, insofar as is practically possible making sure that all employees are made aware of the results of the risk assessment.

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 risk may be.
- 🔍 Evaluate the management and control of the risk and record all findings.
- 🔍 Review, assess and revise if required.

General Notes

The Council's Risk Management Procedure is available on the web site.

It requires an annual review of the Risks listed in the registers undertaken by the entire Council.

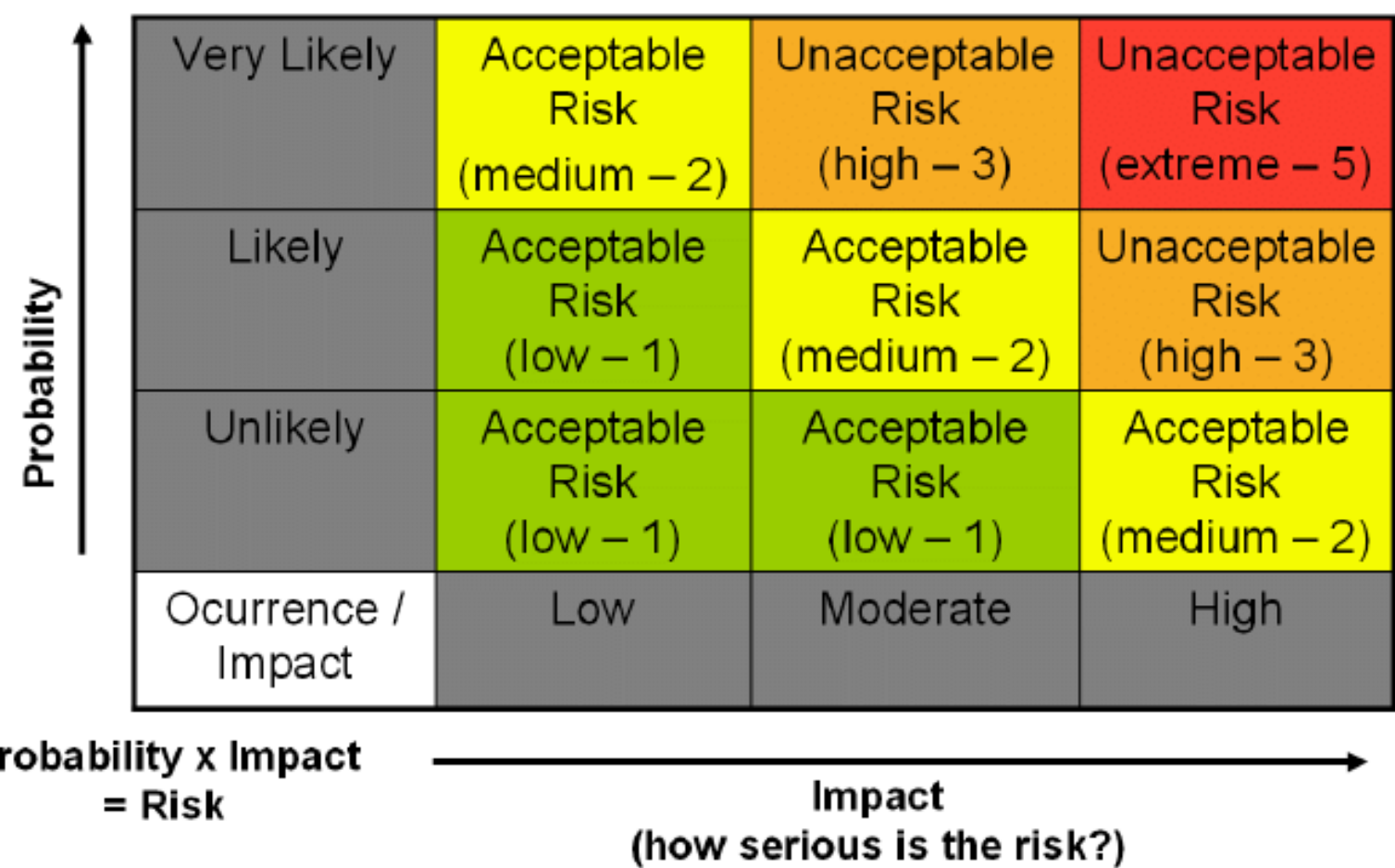
Members are to review the 'Controls in Place' to ensure they exist, they relate to and mitigate the Risk Identified [Step 3 from the Risk Management Policy]

In line with the Risk Management Policy [Step 4: Decide on Any Further Action to be Taken] for risks rated as Red or Amber the Members will need to decide, for each one, which one of the four main control options apply:

1. Terminate the risk – take a decision to discontinue the activity.
2. Transfer the risk – the risk is 'passed' on e.g. to an insurer.
3. Treat the risk – put in place additional effective controls to reduce the impact or likelihood.
4. Tolerate the risk – accept the risk but continue to monitor and evaluate.

The chosen control option should be listed in the 'Additional Controls Required' together with any additional controls that are required.

Note that any Additional Controls Required will need to be scoped, resources (time, effort, funds) required identified and agreed by Council Resolution



FINANCE AND MANAGEMENT

Reference	Subject	Risk(s) Identified	Probability	Impact	Risk Score	Management/Control of Risk	Review/Assess/Revise	Risk Owner	Date Reviewed	Next Review
1	Business continuity	Risk of Council not being able to continue its business due to an unexpected or tragic circumstance - absence of Clerk/Loss of computer equipment	1	2	2	Archived records held at Surrey Records Office, Woking Electronic files stored on Microsoft Cloud and / or backed up on external hard drive Financial records backed up monthly on Cloud Bramley Update records stored on laptop hard drive and backed up Cloud. Spare office key held by Chairman Duplicate keys labelled in key box in office Assistant Clerk in place Major processes documented Locum Clerk available through SALC Copy of all passwords for accessing computer, website, email, cloud data placed in a sealed envelope at Chairman's residence.	Existing procedures adequate. Review when necessary.	Parish Clerk	16/05/2024	May 2025
2	Precept	Adequacy of precept Requirements not submitted to Waverley Borough Council (WBC) Amount not received by Waverley Borough Council (WBC)	1	1	1	The Clerk to review the Precept requirement annually and make recommendations to the Council at the November meeting. The Council reviews the presented budget update information, including actual position and projected position to year end and estimated figures for the next financial year. With this information the Council then agrees the amounts set for the specific budget headings for the following year, the total of which is resolved to be the precept amount to be requested from Waverley Borough Council. This figure is submitted by the Clerk online to Waverley Borough Council. The Clerk informs Council when the monies are received (at the end of April and September).	Existing procedure adequate.	Parish Clerk	16/05/2024	May 2025
3	Financial records	Inadequate records Financial irregularities	1	1	1	The Council has Financial Regulations that set out the requirements.	Existing procedure adequate.	Parish Clerk	16/05/2024	May 2025
4	Bank and banking	Inadequate checks Bank mistakes Loss Charges	1	1	1	The Council has Financial Regulations that set out the requirements for banking, cheques and reconciliation of accounts. The Clerk reconciles the bank accounts once a month when the statements arrive. The Clerk reviews the Council's banking arrangements regularly.	Existing procedure adequate. Review the Financial Regulations when necessary and bank signatory list when necessary, especially after an AGM and an election. Monitor the bank statements monthly.	Parish Clerk	16/05/2024	May 2025
5	Cash	Loss through theft or dishonesty	1	1	1	The Council has Financial Regulations that set out the requirements. The Council's insurance policy has a Fidelity Guarantee. No petty cash float is held.	Existing procedure adequate. Review the Financial Regulations when necessary. Ensure Fidelity Insurance is adequate.	Parish Clerk	16/05/2024	May 2025
6	Reporting and auditing	Information communication Compliance	1	1	1	A full list of payments and receipts and cheques to be signed is provided at the meeting. Council should regularly audit internally to comply with the Fidelity Guarantee.	Existing communication procedures adequate.	Parish Clerk	16/05/2024	May 2025
7	Direct costs / Expenses / Debts	Goods not supplied but billed Incorrect invoicing Incorrect payment made	1	2	2	The Council has Financial Regulations that set out the requirements. At each Council meeting the list of invoices awaiting approval is distributed to Councillors, and considered. Council approves the list of requests for payment.	Existing procedure adequate. Review the Financial Regulations when necessary.	Parish Clerk	16/05/2024	May 2025
8	Grants and support - payable	Power to pay Authorisation of Council to pay	1	1	1	All such expenditure goes through the required Council process of approval. Minuted and listed accordingly. The Council has the General Power of Competence.	Existing procedure adequate. Council reviews compliance with the criteria to use the GPC at its Annual Meeting.	Parish Clerk	16/05/2024	May 2025
9	Smith's Grant	Receipt of Grants	1	1	1	The Parish Council receives grants from Smith's Charity annually paid in one instalment. Receipt is reported to the Council at the next meeting of the Council. Any one-off grants awarded would come with terms and conditions to be satisfied.	Existing procedures adequate.	Parish Clerk	16/05/2024	May 2025
10	Best value Accountability	Work awarded incorrectly Overspend on services	1	2	2	As per Financial Regulations normal Parish Council practice would be to seek, if possible, more than one quotation for any substantial work required to be undertaken or goods. For major contract services, formal competitive tenders would be sought. If a problem is encountered with a contract the Clerk would investigate the situation, check the quotation tender, research the problem and report to Council.	Existing procedure adequate. Review Financial Regulations regularly.	Parish Clerk	16/05/2024	May 2025
11	Salaries and assoc. costs	Salary paid incorrectly Wrong hours paid Wrong rate paid False employee Wrong deductions of Tax Unpaid contributions to the Inland Revenue	1	1	1	The Parish Council authorises the appointment of all employees at Council meetings. Salary rates are assessed annually by the Council and applied on 1st April each year. Salary is paid by cheque each month for a set number of hours and reported to the Council. Income tax is calculated using HMRC PAYE basic tools software updated annually, and paid quarterly. The Clerk has a contract of employment and job description.	Existing appointment and payment system is adequate.	Parish Clerk	16/05/2024	May 2025
12	Clerk/Other workers (voluntary/casual)	Loss of Clerk Fraud Actions undertaken Health & Safety	1	2	2	Ensure funds available to enable training for the CLICA qualification in the event of the Clerk resigning. The requirements of the Fidelity Guarantee insurance to be adhered to with regards to Fraud. The Clerk should be provided with relevant training, reference books, access to assistance and legal advice required to undertake the role.	Includes in financial statement when setting precept. Existing procedure adequate. Purchase reference books where necessary. Membership of the SLCC. Monitor working conditions, safety requirements and insurance regularly.	Parish Clerk	16/05/2024	May 2025
13	Councillor allowances	Councillors overpaid Income tax deduction	1	1	1	Any expenses are claimed by presenting the relevant receipt to the Council for approval. No allowances are allocated to Parish Councillors.	Existing procedure adequate.	Parish Clerk	16/05/2024	May 2025
14	Election costs	Risk of an election cost	1	1	1	Risk is higher in an election year. When an election is due the Clerk will obtain an estimate of costs from the Borough Council for a full election and an uncontested election. There are no measures which can be adopted to minimise the risk of having a contested election as this is a democratic process and should not be stifled.	Existing procedure adequate.	Parish Clerk	16/05/2024	May 2025
15	VAT	Reclaiming/charging	1	1	1	The Council has Financial Regulations that set out the requirements.	Existing procedure adequate	Parish Clerk	16/05/2024	May 2025
16	Annual return	Submit within time limits	1	1	1	Employer's Annual Return is completed and submitted to HMRC within the prescribed time frame by the Clerk. Annual Return is submitted to the internal auditor for completion and signing; completed and signed by the Council then sent on to the External Auditor within time limit.	Existing procedures adequate.	Parish Clerk	16/05/2024	May 2025
17	Legal powers	Illegal activity or payments	1	1	1	All activity and payments within the powers of the Parish Council to be resolved and Minuted at full Parish Council Meetings. The Council has the General Power of Competence.	All activities and payments Minuted. Council reviews compliance with the criteria to use the GPC at its Annual Meeting.	Parish Clerk	16/05/2024	May 2025
18	Council records - paper	Loss through: theft fire damage	1	2	2	The Parish Council records are stored at Bramley Village Hall. Records include current correspondence, Minute books, cash book, bank statements, insurance, etc. Recent materials are in a metal filing cabinet (not fire proof) and older more historical records are in the county archives.	Damage (apart from fire) and theft is unlikely and so provision adequate.	Parish Clerk	16/05/2024	May 2025
19	Council records - electronic	Loss through: Theft, fire, damage Corruption of computer	1	2	2	Electronic files stored on Microsoft Cloud and / or backed up on external hard drive Financial records backed up monthly on Cloud Bramley Update records stored on laptop hard drive and backed up Cloud	Existing procedure adequate.	Parish Clerk	16/05/2024	May 2025
20	Insurance	Adequacy Cost Compliance	1	2	2	An annual review is undertaken (before the time of the policy renewal) of all insurance arrangements in place. Employers and Employee liability insurance are a necessity and must be paid for. Ensure compliance measures are in place.	Existing procedure adequate. Review insurance provision annually. Review of compliance.	Parish Clerk	16/05/2024	May 2025
21	Data protection	Policy Provision	1	1	1	The Council is registered with the Information Commissioner Privacy Notice, Privacy Policy, Management Policy for data breach, procedure for Subject Access Requests have been adopted	Ensure annual renewal of Registration and compliance with the General Data Protection Requirement	Parish Clerk	16/05/2024	May 2025
22	Freedom of Information Act	Policy Provision	1	1	1	The Council has a model publication scheme for Local Councils in place. The Council is able to request a fee for any information requested to cover the cost of consumables and the clerk's time.	Monitor and report any impacts of requests made under the FOI Act.	Parish Clerk	16/05/2024	May 2025
23	Meeting location	Adequacy Health & Safety	1	2	2	The Parish Council Meetings are held in the Meetings Room of Bramley Village Hall village hall. The premises and the facilities are considered to be adequate for the Clerk, Councillors and Public who attend from Health & Safety and comfort aspects.	Existing location adequate. Council meetings via Zoom as a backup	Parish Clerk	16/05/2024	May 2025

ASSETS

Subject	Risk(s) Identified	Probability	Impact	Risk Score	Management/Control of Risk	Review/Assess/Revise	Risk Owner	Date Reviewed	Next Review	
24	Outdoor equipment, parish noticeboard, speed indicator device, telephone kiosk, Land asset: Allotment site	Loss or Damage Risk/damage to third parties/property	1	1	1	An asset register is kept up to date and insurance is held at the appropriate level for all items. Allotment users to comply with the requirements of the Allotment Society and take personal responsibility for their safety, particularly if working on their own. At all times, each individual using the allotments must act in a responsible, considerate manner; mindful of others working in the allotments.	Existing procedure adequate. Review insurance requirements annually.	Parish Clerk	16/05/2024	May 2025
25	Noticeboard	Risk/damage/injury to third parties/property Road side safety	1	1	1	The Parish Council has a number of noticeboards in the Parish. All locations have approval by relevant parties. Any repairs/maintenance requirements brought to the attention of the Parish Council. Keys held by the Clerk.	Existing procedure adequate.	Parish Clerk	16/05/2024	May 2025
26	Outdoor equipment	Risk/damage/injury to third parties	1	1	1	Equipment inspected regularly and maintained as per the manufacturer's specifications. Users should dress appropriately for weather conditions. Minors should be adequately supervised by a responsible adult. Any injuries to be reported to the Clerk.	Existing procedure adequate.	Parish Clerk	16/05/2024	May 2025

LIABILITY

Subject	Risk(s) Identified	Probability	Impact	Risk Score	Management/Control of Risk	Review/Assess/Revise	Risk Owner	Date Reviewed	Next Review	
27	Legal Powers	Illegal activity or payments Working Parties taking decisions	1	1	1	All activity and payments made within the powers of the Parish Council (not ultra vires) and to be resolved and clearly Minuted. Ensure established with clear terms of reference.	Existing procedure adequate.	Parish Clerk	16/05/2024	May 2025
28	Minutes/Agendas/ Notices/Statutory documents	Accuracy and legality Business conduct	1	1	1	Minutes and agendas are produced in the prescribed method by the Clerk and adhere to the legal requirements. Minutes are approved and signed at the next Council meeting. Minutes and agendas are published according to the legal requirements. Business conducted at Council meetings should be managed by the Chair.	Existing procedure adequate. Guidance/training to Chair should be given (if required). Members to adhere to Code of Conduct.	Parish Clerk	16/05/2024	May 2025
29	Public Liability	Risk to third party, property or individuals	1	2	2	Insurance is in place. Risk assessments carried out to comply with requirements.	Existing procedures adequate. Ensure risk assessments are carried out.	Parish Clerk	16/05/2024	May 2025
30	Employer Liability	Non-compliance with employment law	1	1	1	Undertake adequate training and seek advice from the Surrey Association of Local Councils.	Existing procedures adequate.	Parish Clerk	16/05/2024	May 2025
31	Legal Liability	Legality of activities Proper and timely reporting via Minutes Proper document control	1	2	2	Clerk to clarify legal position on proposals and to seek advice if necessary. Council always receives and approves Minutes at meetings. Retention of document policy in place.	Existing procedures adequate.	Parish Clerk	16/05/2024	May 2025

COUNCILLORS' PROPRIETY

Subject	Risk(s) Identified	Probability	Impact	Risk Score	Management/Control of Risk	Review/Assess/Revise	Risk Owner	Date Reviewed	Next Review	
32	Members interests	Conflict of interest Declaration of Councillors' Pecuniary interests	1	2	2	Councillors have a duty to declare any interests at the start of the meeting. Declaration of Pecuniary Interest forms to be reviewed regularly by Councillors, and published on the Parish Council website.	Existing procedure adequate. Members to take responsibility to update their Register.	Parish Clerk	16/05/2024	May 2025