

<b>Harton Parish Council - Risk Management Policy and Risk Register 2021</b>			
This document outlines the Parish council's risk management and internal control framework for identifying and monitoring risks relating to the council's business activities and assets. This register will be reviewed and ratified annually.			
<b>Risk Area/Activity</b>	<b>Possible risks</b>	<b>Controls</b>	<b>Review/Action</b>
<b>Governance &amp; Accountability</b>			
Code of conduct	Integrity and reputational risk for the Parish Council.	Members sign Declaration of Office and agree to the Parish Council Adopted Code of Conduct	Code of Conduct signed on Acceptance of Office.
Conflict of Interest	Any personal interests that may be seen by others to prejudice judgement of the public interest.	Members Interest Forms completed on Acceptance of Office. Any declaration of interests for items on agendas declared at each meeting and minuted.	Update Members Interest Forms and Minutes as required.
Procedures at meeting, motions and voting on decisions	Inability to reach agreements, misunderstanding on processes	Standing orders	Ratified at the Annual meeting.
Record of decisions	Decisions challenged by the electorate	Minutes signed by Chair or deputy as correct record of the meeting.	
Transparency Code - accounts and Audit Regulations for Smaller Authorities	Failure to complete Annual Governance and Accountability Returns ( AGAR) and publish information on the parish council website, within the statutory deadline for publishing documents (includes the Exercise of Public Rights)	The Clerk monitors External Auditor submission deadlines and is minuted accordingly. Internal audit is carried out by an Independent Auditor to ensure compliance with relevant procedures and publications requirements for the AGAR have been met.	March, Financial Year End
GDPR Compliance	Data handling and personal information breaches	Privacy Notices. Information & Data Protection Policy adopted October 2020	Yearly review check
<b>Financial Management</b>			
Financial records in accordance with Statutory requirements	Incomplete recording of income & expenditure and completion of the AGAR	Competent book-keeping (electronic and hard copy files) by Responsible Financial Officer (RFO). Regular review of spending by Clerk/ RFO, and financial monitoring by the Chair and financial year end checks by agreed Member.	Interim audit December and Year End 31 March. Budget report in October
Accounting and budgetary controls	Inappropriate spending and unauthorised payments made resulting in financial loss and liability to prosecution. Budget overspends	Budget setting in October of each year, with reviews in July and January by Clerk, RFO and Members. Clerk to provide bank reconciliation/ bank statements and order of payments at each council meeting.	January, July, October
Banking and Expenditure approval	Unauthorised spending and recording	Financial Regulations and Internal System of controls stating authorisation limits and protocols for expenditure approvals to be ratified at the Annual meeting :Two authorising signatories required for all cheque payments and BACs transfers. Monitoring of payments by a order of payment schedule presented for approval at meetings.	Annual Parish Council Meeting in May.
VAT procedures	Incorrect treatment of VAT and inaccurate returns	Accounting records checks by Council member and Independent Internal audit.	
Payroll & PAYE, NI checks	Incorrect HMRC deductions	Financial monitoring and checks carried out by Chair and Council Member and Internal Auditor	April/ May Internal Audit by Independent Auditor
Contracts and procedure for orders of works, goods & services	Unauthorised spending and inappropriate spending	Financial Regulations and Internal System of Financial Controls stating authorisation limits and protocols.	
Asset Protection	Loss or damage of physical assets owned by the council and listed on the Fixed Asset Schedule resulting in financial loss.	Parish Council Insurance - Annual review of cover requirements at the October meeting when premium payment due. To review Insurance provider and seek new quotes every three years (3 year LTA in place)	October
Revenue Protection	Business Interruption - Continuity. Loss of cash or funds through theft or dishonesty resulting in financial loss.	Parish Council Insurance - as above	
Legal Liabilities	Damage to third party property or individuals as consequence of the council providing services or amenities to the public resulting in claims against the Council.	Parish Council Insurance - as above	

Risk Area/Activity	Possible risks	Controls	Review/Action
Village Hall - ramp and railings and building structure	Fire, Associated hazards with users of hall	Health and Safety (H&S) and Fire Risk framework for the operation of the hall meeting all statutory requirements is managed by the Village Hall Trustees as per Licence Agreement. The Clerk receives a copy of the Risk Assessment documents, including copies of Trustee minutes recording regular checks and the Annual Gas boiler inspection certificate.	Year End Check of documentation/Annual Meeting May
Parking on Coach Drive / The Glebe	Inappropriate parking. Limited space for parking	Currently monitored by Village Hall Trustees. Any concerns will be reported via the Council's VHT liaison representative.	
Village Defibrillator	Vandalism, Malfunction	Equipment is monitored and monthly checks carried out by a village volunteer. These are logged with Community Heartbeat's WebNos system online.	
Goal Nets on the Glebe	Damaged posts/ nets	Regular visual checks	
Basket Ball	Post becoming instable/ damaged net	Regular visual checks	
Childrens Playground and equipment	Equipment damage/broken and algae forming on playsurface	Monthly Parish Council inspections and Annual ROSPA inspections. Findings recorded in minutes	April/ Review May
Benches	Unstable because of rotten wood. Splinters	Regular inspections and routine maintenance as needed	
Notice boards	Injury from broken glass.	Regular visual checks.	
Village Pump & fence enclosure	Splinters	Periodic visual checks.	
Street Lights Coach Drive	Injury from fall due to lights out	Council to report any known faults or reported faults by residents to Cambridge County Council	
Telephone Box	Injury from broken glass, or shelves collapsing	Kiosk currently monitored and library organised by village volunteer. Clerk to carry out regular visual safety checks	
Dog Litter Bin	Disease from waste	SCDC will monitor and empty bins.	
Clunch Pit Woods - kissing gates, fences and trees	Injury from overhanging trees on footpath or falling deadwood	Regular visual check by Tree Warden. Safety inspections by qualified arborist every 3yrs or when necessary	
Trees within the village curtailment and on on the Glebe.	Injury from overhanging trees on footpath or falling deadwood	Regular visual check by Tree Warden. Safety inspections by qualified arborist every 3yrs or when necessary.	
Rods Walk Gate	Splinters	Yearly inspection /repair as necessary	
Parish Council Meetings in Village Hall	Risk of exceeding Public Access capacity for meeting safely face-to-face (opposed to remotely) and failure to comply with Covid Secure guidelines	Comply with the Trustees's Village Hall Risk Assessments and Covid Secure guidelines in place. Ensure face coverings are worn and hand sanitiser used. Keep a record of the name and contact details of those in attendance	