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|  | **Hopesay Parish Council Risk Register** | | |
|  | **Assessment Matrix** | | |
| **Likelihood:** |  |  |  |
| **Highly Likely (3)** | Medium (3) | High (6) | High (9) |
| **Likely (2)** | Low (2) | Medium (4) | High (6) |
| **Unlikely (1)** | Low (1) | Low (2) | Medium (3) |
| **Impact** | **Negligible (1)** | **Moderate (2)** | **Severe (3)** |
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|  |  |  |  |

Risks will be reviewed on a rolling basis with overall assessment annually

Risks scoring 4-6 will be reviewed at each meeting.

Any risk scoring 9 will require a special meeting to be called urgently.

| **No.** |  | **Description    De Description** | **Impact** | | **Current**  **Controls/Mitigation** | **Likelihood**  **Score** | | **Impact**  **Score** | **Rating** | **Response/**  **Action / REVIEW DATE** |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **1** |  | Death or injury on premises for which PC responsible | Very significant  Danger of litigation  Or criminal procedures | | Health and safety reviews  Insurance, maintenance,  Ensuring village hall has adequate procedures.  Risk assessments undertaken for each activity | 1 | | 3 | 3 | Critical item requiring Regular review of risk assessments.  Reviewed 28/6/21: H&S reviews will constitute part of assets inspections. Template for risk assessing Aston Green work in shed. |
| **1a** |  | Injury to public from trees on parish council lands. | Medium to High. Litigation, insurance claims | | Not a huge number of trees, risk is mitigated by regular inspection | 1 | | 3 | 3 | Aston Green & Arbor Trees checked; Broome s/be ok, next to check. Reduce likelihood to 1.  Reviewed 26/7/21 |
| **2** |  | Loss of financial resources due to fraud or error | Reduces or removes ability of PC to operate effectively. Misuse of public money | | Financial regulations, budgets, standing orders and training,  Insurance, RFO & councillor monitoring, councillor checks, Internal audit | 1 | | 3 | 3 | Maintain vigilance, and annual governance checking, ensure effective internal controls, quarterly checks by councillors on financial records, (latest internal controls review completed February 2022). |
| **3** |  | Poor financial planning/ administration | Loss of funds, misuse of money. Failure to set appropriate precept. Funds not available for essential work. | | Financial regulations. Qualified Clerk. Rigorous reviews. Budgets and review of commitments and outgoings. Audit/year-end training for cllrs  Adequate Reserves. | 1 | | 3 | 3 | Ensure that the budget is set correctly, that clerk is qualified and experienced and does CPD; councillors attend financial training regularly, internal audit reviewed regularly.  Risks 2 & 3 reviewed 28/2/22. |
| **4** |  | Failure to comply with legislation or regulations, Councillors not up to date with responsibilities, council requirements, &/or legislation | Open to legal challenge, risk of court proceedings. Can lead to risk 5.  Risk of making poor decisions, giving incorrect advice to parishioners | | Qualified Clerk, does CPD. Councillor training, refresher training.  **Councillors must understand statutory duties, powers,**  **and legal obligations**  Regular/ongoing training requirement incorporated into Standing Orders, SALC & SLCC membership. | 1 | | 3 | 3 | members should seek the advice of the clerk.  Training plan required, induction & ongoing – review annually. Councillors to attend training, & keep up to date  REVIEWED 24/5/21 |
| **5** |  | PC acts outside powers  **(Ultra Vires)** | Collective legal liability breached  Risk of Council decisions deemed invalid  Risk of court proceedings  Risk of governance review | | Training, Qualified Clerk,  SALC & SLCC membership,  Reference documents  **Councillors must understand statutory duties, powers,**  **and legal obligations** | 1 | | 3 | 3 | Members should seek the advice of the clerk.  REVIEWED 18/10/21.  KEEP UNDER REVIEW. |
| **6** |  | Failure to consult electorate  Failure to prioritise activities which benefit and meet the expressed needs of the electorate  2020 Covid-19 specific 1st review 20/7/20. | Council working to own agenda. Failure to meet objectives, poor service to electors. Poor use of public money | | Questionnaires, consultations and discussions. Holding open meetings & interactive & representative APMs. Parish Plan reviews. Annual reviews of pc aims & objectives. | | 1 | 3 | 3 | Review annually. Reviewed 26/7/21. How to reach electorate = consider leafletting - introducing cllrs to parishioners, making cllrs more known and accessible. Craft Fairs presence, presence at other community events?  Action plan for year based on APM – consult electorate at AGM. |
| **7** |  | Poor project planning | Projects go over time or budget or fail to meet objectives | | Task groups with clear terms of reference  Risks considered for each project. | 1 | | 3 | 3 | Regular monitoring via standing agenda item added to the project specific Standing Order. Reviewed 15/11/21. |
| **8** |  | Loss of clerk through illness, incapacity; or resignation | Unable to function as a council | | Employ a locum clerk  Follow best practice, ensure adequate support | 1 at present | | 3 | 3 | Insurance cover adequate  REVIEWED 24/5/21 |
| **9** |  | Not enough councillors to be an effective council | Council does not have resources to be proactive, poor service to electors, could fall below quorum | | Ongoing recruitment & awareness raising campaign (long term commitment); *mentoring for new cllrs* | 2 | | 1 | 2 | New cllrs will be given ongoing support and mentoring. Review annually. Jan22 likelihood reduced to 1. |
| **10** |  | GDPR non-compliance (complex legislation requiring many steps) | As 4, but also including huge fines | Council actively working towards compliance, clerk & councillors undergo regular training. Follow ICO, SALC and other advice/guidance, remind cllrs to observe confidentiality & be careful re emails | | 1 | | 3 | 3 | Council is continually working towards compliance. Progress satisfactory.  Reviewed Aug 21, no changes. |
| **11** |  | High consequence infectious disease outbreak, other national crisis potentially leading to suspension of council meetings | Unable to function as a council until remote meetings allowed by enactment of temporary legislation | | Adoption of HCID policy to cover such an event, SALC and Shropshire Council issue comprehensive advice, info, and guidance | 2 | | 1 | 2 | policy gives the clerk delegated powers to operate council in conjunction with councillors by email for the period when no council meetings are allowed. Jan22 likelihood reduced to 1. |

Hopesay Parish Council- Risk Register: ROLLING REVIEW

“BACK PAGE” risks **removed** from active register (but retained for record) following review:

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|  |  | Description | Impact | Current controls / mitigations | Likelihood  Score | Impact  score | Rating | Response / action |
|  |  | Failure of IT systems  or website | Reduced ability to operate  Cost of replacement  Danger of non-compliance with  statutory regulations | Anti-virus software  Back ups  Website support provided  by professional company | 2 | 1 | 2 | WEBSITE: any non-compliance  Issues must be urgently addressed  REVIEWED 21/8/17:  Purchase second external hard drive for back up & keep off-site |
|  |  | Loss of physical assets | Cost of replacement | Physical security, insurance,  Maintenance, asset checks | 1 | 1 | 1 | Maintain at least annual asset checks  REVIEWED 11/9/17 |
|  |  | Failure / disbanding of  Village Hall Committee |  |  |  |  |  | Council to organise a Public  meeting to elect new  management committee  Reviewed 11/10/17 |
|  |  | Failure to be transparent | Reputation of PC. Risk of external review. | Meeting the transparency code. Ensure open processes |  |  |  | Reviewed 29/1/18 |