

Portreath Parish Council Risk Register

Finance and Management

	Subject	Risk	H/L/M	Management/Control Risk	Review Assess Revise
1	Business Continuity	Council being unable to continue business due to unexpected or tragic circumstance	M		Consider basic business continuity plan. Ensure council process are followed and up to date
2	Business Continuity	Meetings inquorate	L	Standing orders specify quorum number. Clerk to make arrangements for new meeting if inquorate.	Keep vacancies to a minimum Where vacancies remain unfilled active recruitment should be considered.
3	Business Continuity	Loss of Clerk – Short Term	L	In absence of Clerk council may consider delegating powers to alternate staff members. Councillors may also consider the use of a locum Clerk.	Look to gather advice from county association or other local Clerks. Encourage Clerks to network and create a list pf possible locum Clerks.
4	Business Continuity	Loss of Clerk – Long Term		Council must make arrangements to source either a temporary or permanent replacement.	Recruitment procedures put into place. CALC to be notified. The use of a locum Clerk considered
5	Business Continuity	The Council fails to act in a lawful manner.		<ul style="list-style-type: none"> - Establish Clear Terms of Reference. - Refer to Standing Orders and Financial Regulations. - Provide training opportunities for staff and councillors. 	Consider minuting powers where used.
6	Business Continuity	Illegal Activities or payments	L	All activities and payments made within the powers of the council, resolved and clearly minuted.	Relevant Training and annual subscriptions purchased.
7	Minutes, Agenda and Standing Documents	<ul style="list-style-type: none"> - Accuracy and Legality - Non-Compliance with statutory requirements. 	M	<ul style="list-style-type: none"> - All meetings and actions minuted, planning observations submitted online. - Minutes and agendas are produced in the prescribed method and adhere to legal requirements. 	<ul style="list-style-type: none"> - Annual review of Standing Orders and Financial Regulations to take place. - Other policies to be scheduled for regular review.

Portreath Parish Council Risk Register

Finance and Management, Continued

	Subject	Risk	H/L/M	Management/Control Risk	Review Assess Revise
8	Minutes, Agenda and Standing Documents, Cont.	<ul style="list-style-type: none"> - Accuracy and Legality - Non-Compliance with statutory requirements. 	M	<ul style="list-style-type: none"> - Minutes approved and signed off at next full meeting of the council. - Minutes and agendas are displayed according to legal requirements. 	<ul style="list-style-type: none"> - Clerk to ensure members are kept up to date with legal notices coming from CALC and NALC.
9	Minutes, Agenda and Standing Documents	Meeting timetables and consultations timescales must be as laid down in law.	L	All notices to be placed in the relevant conspicuous locations as prescribed in law.	Calendar of meetings completed at the annual meeting of the council.
10	Insurances	Adequacy	M	Annual review of policy undertaken prior to renewal	Review insurance cover annually. Policy to be checked Annually
12	Insurances	Cost	M	Employer and employee liability are essential. Ensure best value when choosing insurer.	Professional advice sought on levels deemed adequate
13	Insurances	Compliance	M	Ensure compliance processes are in place	Review compliance annually. Individual written risk assessments for key activities. Retain staff training records.
14	Precept	Adequacy of Precept	M	<ul style="list-style-type: none"> - Sound figures used when looking at the council's budget. Budget and Precept approval needed by full council.	<ul style="list-style-type: none"> - Regular budget monitoring report provided to all councillors - Precept set at full council meeting.
15	Precept	Failure to submit Precept request in timely fashion.	M	Minute to action applying for the precept recorded at full council meeting. Action	
16	Banking including electronic payments	<ul style="list-style-type: none"> - Fraud - Incorrect payments and mistakes - Inadequate system of checking 		<ul style="list-style-type: none"> - Financial Regulations set out requirements for banking - Statements verified on a monthly basis, as prescribed by the financial regulations 	<ul style="list-style-type: none"> - Financial controls put in place. - Spot checks carried out by councillors at regular intervals.

Portreath Parish Council Risk Register

Finance and Management, Continued

	Subject	Risk	H/L/M	Management/Control Risk	Review Assess Revise
17	Banking including electronic payments, Cont.	<ul style="list-style-type: none"> - Fraud - Incorrect payments and mistakes - Inadequate system of checking 	M	<ul style="list-style-type: none"> - Payments only authorised where backed up with invoices or receipts and purchase orders or contracts - Bank transactions to require two-person authorisation. (including cheques) - Banking mandate reviewed annually 	<ul style="list-style-type: none"> - Invoices/Receipts attached to payment requests with Purchase orders. - Payment schedules published along with approved minutes.
18	Cash	Loss through theft or dishonesty	L	No cash is held by this council. There is no petty cash or float. In the event of any cash received for any reason this is recorded within the accounts and receipts are issued for any cash received.	
19	VAT	Reclaiming/Charging not taking place appropriately	L	Procedures put in place for reclaiming VAT	<p>VAT recorded as per financial regulations in the cash book.</p> <p>VAT reclaimed at a minimum annually.</p> <p>VAT reclaim verified by internal auditor.</p>
20	Financial Control and Records	Inadequate checks being undertaken	M	<ul style="list-style-type: none"> - Accounting records must be maintained in accordance with statutory requirements - Bank transactions to require two-person authorisation. (in case of cheques, the stubs must also be initialled by the two signatories) - All financial commitments must be agreed at full council meetings. 	<ul style="list-style-type: none"> - Monitored by Internal Auditor. - Spot checked by councillors at regular intervals. - Clerk to monitor. - Clerk to ensure any expenses are not authorised by councillor being paid them. - Comprehensive payment schedule approved at full council meetings and published with approved minutes.

Portreath Parish Council Risk Register

Finance and Management, Continued

	Subject	Risk	H/L/M	Management/Control Risk	Review Assess Revise
21	Financial Control and Records, Cont.	Inadequate checks being undertaken	M	S137 payments must be noted and recorded in minutes and cash book.	Level of S137 spending set when approving budget. Legal power referenced in minutes.
22	Annual Returns (AGAR)	Not Submitted within time limit	M	<ul style="list-style-type: none"> - Annual return completed and signed by the Chairman. - Submitted to the internal auditor for completion. 	
23	Annual Returns (AGAR)	Not completed adequately		<ul style="list-style-type: none"> - Training provided to Clerk and S151 officer to enable full completion of the annual return - Internal Auditor appointed to ensure adequate completion of the annual return. 	

Portreath Parish Council Risk Register

Administration

	Subject	Risk	H/L/M	Management/Control Risk	Review Assess Revise
1	Data Protection Policy	Personal data/information being retained without cause or for longer than required.	M	<ul style="list-style-type: none"> - Council Registered as a data controller with the ICO. - Policy documents made publicly available (website) 	<ul style="list-style-type: none"> - Ensure annual renewal (Direct Debit) - Monitor and remove any personal data that is not required. - Review policy annually. - Training provided for staff and councillors
2	GDPR	Retention and use of personal data	M	Adequate GDPR Policy in place to ensure compliance with national guidelines.	<ul style="list-style-type: none"> - Redundant files removed and destroyed. - Personal data retained reviewed and removed/destroyed.
3	Freedom of Information Act	Requests not dealt with or within timescales required	M	The Council has adopted the model publication scheme for local councils	Monitor and report impact of requests made under freedom of information
4	Health & Safety	Lack of suitable checks and records	M	Records of all information relating to Health & Safety & adequate Risk Assessments kept on file in Parish Office.	Accident book and incident record to be kept and maintained by the Clerk.
4	Meeting Location	Availability/ Adequacy	L	<ul style="list-style-type: none"> - Meeting held on 1st Monday of the month scheduled and book annually with venue host. - Extraordinary meeting - book as required - Venues booked to specific meeting attendee volume if expected large attendance 	Identify and list optional/additional venues and facilities kept, to use where main host venue is not available or suitable.

Portreath Parish Council Risk Register

Administration, Continued

	Subject	Risk	H/L/M	Management/Control Risk	Review Assess Revise
5	Meeting Location	Availability/Adequacy	L	<ul style="list-style-type: none"> - Consideration given to holding meetings virtually (where legal to do so) - Community Hub available where usual meeting rooms are unavailable. 	Following CALS/NALC guidance
6	Meeting Location	Health & Safety	L	<ul style="list-style-type: none"> - Visual Checks made by Clerk prior to start of meeting. - Evacuation procedures explained at start of each meeting to all present. 	Risk assessment obtained from host venue prior to meeting
7	Council Records	Loss thorough theft, fire or damage	L	<ul style="list-style-type: none"> - Where possible digital copies of council papers and records to be retained - Papers to be securely stored where possible by Clerk 	<ul style="list-style-type: none"> - Computers backed up regularly. - Data back up and storage managed by website host using cloud-based storage system
8	Council Records	Historic Records	L	<ul style="list-style-type: none"> - Minutes stored in county archive (if available) - One off documents retained in secure fireproof cabinet. 	As much information stored in county archive as possible. (when open for deposits)
9	Council Records	Access restricted to documents	L	Cloud storage available.	Documentation shared by clerk where required.
10	Electronic Records	Loss through damage, fire or corruption of computer	M	Data back up and storage managed by website host using cloud-based storage system	Data back up happening constantly when computers are on and connected to the internet.
11	Electronic Records	Electronic Files	L	All files backed up to cloud-based system	
12	Electronic Records	<ul style="list-style-type: none"> - Electronic Security - Virus/ Computer Hack 	M	Clerk to maintain register of passwords. Virus protection in place. Computer regularly updated.	Make copy of password list retained in the parish office.

Portreath Parish Council Risk Register

Administration, Continued

	Subject	Risk	H/L/M	Management/Control Risk	Review Assess Revise
13	Election	Risk of Election	L	Risk higher in election year. No factor to mitigate risk.	Election reserve created in case of election.
14	Personnel	Salaries	L	<ul style="list-style-type: none"> - Staff salaries reviewed annually. - Salaries set in line with the recommendation of the NJC/SLCC/NALC guidelines 	Job descriptions and contracts should also be reviewed annually.
15	Personnel	<ul style="list-style-type: none"> - Salaries paid incorrectly - Tax and NI contribution made correctly and in timely fashion 	L	<ul style="list-style-type: none"> - Payroll outsourced to external contractor. - Dual signatories authorising staff salaries. - Salary payments authorised at full council meetings. 	PAYE obligations highlighted by payroll contractor.
16	Personnel	Pension	L	Pension outsourced to NEST in line with statutory levels.	Review levels annually
17	Personnel	Protection against unfair dismissal claims	L	Grievance & Appeals procedures in place	Review policy annually
18	Personnel	Personal accident, or assault, to Members, Staff, volunteers, service users	L	<ul style="list-style-type: none"> - Members, Clerk, volunteers advised not to work alone on Council business. - Personal accident (including assault) and Employers Liability insurance in place 	<ul style="list-style-type: none"> - Clerk to let chair know of any incidents; - All accidents and incidents to be recorded in incident record.
19	Personnel	Work related stress	L	<ul style="list-style-type: none"> - Annual staff appraisals. - The Council respects the potential impact of staff of increased works load and monitors through consultation with staff 	Staffing Committee formed to manage staffing matters 2023

Portreath Parish Council Risk Register

Administration, Continued.

	Subject	Risk	H/L/M	Management/Control Risk	Review Assess Revise
20	Personnel	Staff Working Conditions and equipment	L	<ul style="list-style-type: none"> - Complete a DSE assessment. - Ensure staff are trained in the safe use of all equipment. - Consultation with Staff regarding further working requirements. 	
21	Personnel	Other Staff Welfare Issues	L	The council are aware of their responsibilities and will act in accordance with recommendations highlighted in risk assessments or by health and safety consultants	
22	Public Liability	Risk to third party property or individuals	L	Insurance in place, risk assessments of individual activates/events/assets undertaken	Review of policy annually
23	Employer Liability	<ul style="list-style-type: none"> - Risk to third party property or individuals - Legal liability as a consequence of asset ownership 	L	Insurance is in place, risk assessments of individual events/asset is undertaken	Review of policy annually
24	Legal Liability	<ul style="list-style-type: none"> - Legality of activities - Proper and timely reporting via minutes - Proper document control 	L	<ul style="list-style-type: none"> - Clerk clarifies the legal position and takes advice when needed - Council receives and agrees minutes at monthly meetings - Retention of documents policy in place 	<ul style="list-style-type: none"> - Check relevance of policy annually - Minutes agreed and signed each month
25	Members Interests	Conflict of interest	L	Councillors complete register of interest at beginning of their term and review when necessary, updating at each election. Councillors have duty to declare any interest at the start of each meeting.	Register of interest forms reviewed annually.

Portreath Parish Council Risk Register

Administration, Continued

	Subject	Risk	H/L/M	Management/Control Risk	Review Assess Revise
26	Members Interests	Procedures required for the recording and monitoring of members' interests, gifts and hospitality received	L	Code of Conduct signed, and Register of Interest completed, by each Councillor	<ul style="list-style-type: none"> - Councillors to update code of conduct training regularly. - Gifts and Hospitality register kept by the Clerk
27	Members Interests	Breach of Confidentiality	L	Procedures for dealing with confidential agenda items Inc. tender bids	
28	Members Interests Councillors benefiting from being on the Council	<ul style="list-style-type: none"> - Affect reputation - Conflicts of Interest 	L	<ul style="list-style-type: none"> - Clear Standing Orders issued to all councillors and staff - Code of Conduct, councillors trained - Procedures in place for recording and monitoring Members' interests and gifts 	Code of Conduct Training refreshed regularly
29	It & Computer Systems	Loss of council records and work	M	<ul style="list-style-type: none"> - Cloud Back Up Used - Data also backed up by website provider 	Consider contract for retained IT support

Portreath Parish Council Risk Register

Assets and Property

	Subject	Risk	H/L/M	Management/Control Risk	Review Assess Revise
1	Assets	Loss or damage/risk/damage to third parties or to property	M	An asset register is kept up to date and insurance is held at the appropriate level for all items.	Assets checked regularly (physically and against register).
2	Notice Boards	Risk / damage/ injury to third parties	M	<ul style="list-style-type: none"> - Regular checks are made on all equipment by members of the council. - Parish Council has five notice boards which are visited at least once a month by council officers or councillors who holds the keys. 	
3	Public Conveniences	Risk/ injury to third parties	M	<ul style="list-style-type: none"> - Twice daily inspection by cleaning crew. - Weekly inspection by council staff - Any issues reported to clerk for immediate action 	
4.	Duke of Leeds Land	Risk/ injury to third parties	M	<ul style="list-style-type: none"> - Regular inspection carried out by council representatives - Tree Inspections carried out every 3 years or as required following periods of poor weather 	
5	WAAF Site	Risk/ injury to third parties	M	<ul style="list-style-type: none"> - Regular inspection carried out by council representatives 	
6	Street Furniture	Risk/ injury to third parties	M	Review of street furniture to be carried out.	
7	Maintenance	Poor performance of assets or amenities.	M	All assets owned by the Parish Council are regularly reviewed and maintained.	All assets insured. Insurance reviewed annually.

Portreath Parish Council Risk Register

Assets and Property, Continued

	Subject	Risk	H/L/M	Management/Control Risk	Review Assess Revise
8	Maintenance	Loss of income or performance	M	All repairs and relevant expenditure for these repairs are authorised in accordance with Parish council procedures.	
9	Parish Office and Community Hub	Loss or damage/risk/damage to third parties or to property	M	Regular checks are made on the building by council officers. Any issues reported to clerk for immediate action.	
10	Parish Office and Community Hub	Fire - Loss or damage/risk/damage to third parties or to property	M	<ul style="list-style-type: none"> - Full Fire Alarm with manual call points fitted throughout building. - Alarm automatically dials out to monitoring company when triggered. - Monitoring company contact Clerk or fire brigade directly if alarm sounds out of office hours. - Fire extinguishers fitted thought out. - Alarm system serviced annually 	
11	Parish Office and Community Hub	Intruders - Loss or damage/risk/damage to third parties or to property	M	<ul style="list-style-type: none"> - Full Security Alarm fitted. - Alarm monitored by security company. - Security company hold keys to enable access to the building. - Keyholders to building limited and recorded. 	

Portreath Parish Council Risk Register

Review

Date	Amendments / Changes / Recommendations	Approved at Full Council	Sign
11/05/26	<p>To enable the document to be accessible separate the Risk Register from the Policy. Make the following amends to the Risk register:</p> <p>Finance and Management 3. reword from: In absence of Clerk council may consider delegating powers to councillors. Councillors may also consider the use of a locum Clerk.</p> <p>To In absence of Clerk council may consider delegating powers to alternate staff members. Councillors may also consider the use of a locum Clerk.</p> <p>Administration 1. Add 'Training provided for staff and councillors' to Review Assess Revise section 18. amend wording to reflect all employees not just the Clerk. And Volunteers and service users. 20. amend wording to reflect all employees not just the Clerk.</p> <p>Assets and Property 3. Added weekly inspection by council staff 4. Added: - Regular inspection carried out by council representatives - Tree Inspections carried out every 3 years or as required following periods of poor weather 5. Added Regular inspection carried out by council representatives</p>	11 th May 2026 Minte Ref: 26092	L Jose