

ASTON, COTE, SHIFFORD & CHIMNEY PARISH COUNCIL RISK ASSESSMENT

Originally adopted at a meeting of the Parish Council on 6 March 2008

Last reviewed and reapproved at a meeting of the Parish Council on 7 February 2022

| Business Area | Risk | Likelihood | Impact | Control Measures |
|---------------|---|------------|--------|--|
| Clerk | Misappropriation of funds | L | H | <ul style="list-style-type: none"> Recruitment procedures – interview/references Maintain appropriate level of fidelity guarantee insurance Bank reconciliation checked to original documentation on a quarterly basis by designated Councillor |
| | Poor performance/incompetence | L | H | <ul style="list-style-type: none"> Recruitment procedures – interview/references Membership of SLCC Training courses Oversight by experienced councillors |
| | Health & safety issues – lone working at home | L | M | <ul style="list-style-type: none"> Require Clerk to keep up to date on Health & Safety issues Employers' liability insurance |
| | Loss of trained and experienced Clerk through resignation | M | M | <ul style="list-style-type: none"> Recruitment procedures – ensuring Clerk is committed Training Support |

| Business Area | Risk | Likelihood | Impact | Control Measures |
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| Councillors | Bringing Parish Council into disrepute |) L |) H | <ul style="list-style-type: none"> • Obtain training on Code of Conduct and other regulations/procedures as appropriate • Ensure Councillors have up to date documentation on Code of Conduct • Clear procedural Standing Orders • Libel and slander insurance • All official correspondence to be sent by the Clerk • Official media contact to be conducted through Chair, with statements to be agreed by Parish Council |
| | Not declaring an interest as necessary | | | |
| | Misrepresenting Parish Council; acting in isolation but claiming to represent Council | | | |
| | Health and Safety | L | L | <ul style="list-style-type: none"> • Personal Accident insurance |
| Legal/Statutory Powers | Acting outside of legal powers | M | H | <ul style="list-style-type: none"> • Use of reference books • Membership of NALC – referring new and unclear matters to them • Identify legal power for new activities before commit to them • Legal powers used for expenditure noted on agendas and minutes |
| | Not maximising use of legal powers – missing out on things the Parish Council are permitted to do | M | L | |

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|--|---|------------|----------|---|
| <p>Data Protection & Freedom of Information</p> | <p>Not complying with Data Protection Regulations or Freedom of Information Act</p> | <p>M</p> | <p>H</p> | <ul style="list-style-type: none"> • The Parish Council is registered with the Information Commissioner as a Data Controller • Model Publication Scheme as recommended by Information Commissioner adopted by Parish Council on 4 December 2008 • Model Publication Scheme published on Parish Council website • Clerk trained on Freedom of Information Act to appropriate level • All Parish Council records to be held by Parish Clerk only; councillors made aware of need to destroy records containing personal data • Councillor’s will be provided with a Parish Council email and are recommended to use this. If, for any reason, a councillor cannot use the provided email their personal email will be included in a distribution list in Microsoft Office and used for all emails to councillors • Physical files kept in locked cabinets; electronic files maintained on a computer |

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| | | | | <p>protected with up-to-date firewall and anti-virus software with password required for access</p> <ul style="list-style-type: none">• Clerk and councillors to receive appropriate training on new General Data Protection Regulations 2018• Data Protection Officer to be appointed if required by new Data Protection Act (1998) |
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| Public Involvement | Acting without a mandate from the public represented by the Parish Council | M | H | <ul style="list-style-type: none"> • Encourage local residents to register as candidates for elections • Support local Parish magazine, enter an article providing updates from the Parish Council in each edition of the magazine • Parish Council page on Parish website – includes recent Minutes • Parish Council Twitter account • Actively promote Annual Parish Meeting • Keep Parish Noticeboards up to date with Parish Council news • Update Parish Plan as considered necessary |
| Procedures | Not following correct procedures for meetings – exposing decisions taken to challenge | L | M | <ul style="list-style-type: none"> • Use of reference books • Membership of NALC – referring new and unclear matters to them • Training of Clerk • Experience of Councillors • Ensure Councillors are aware of procedure for calling Extraordinary Meetings • Clear procedural Standing Orders |

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| | Not dealing effectively with major local emergencies | L | H | <ul style="list-style-type: none"> • Basic emergency plan developed. Consider further development of emergency procedures • Ensure Councillors are aware of procedure for calling Extraordinary Meetings in event of emergency |
| Records | Loss by fire/flood/computer failure | L | L | <ul style="list-style-type: none"> • Records kept in secure premises • Back-ups of computerised records maintained |
| | Destruction by error | L | L | <ul style="list-style-type: none"> • Clerk to refer to legal time period for document retention before destroying records • Clerk to consider historical significance of records before destroying them, and if in any doubt to seek advice from Parish Council/third party expert |
| Financial | Poor cashflow management | M | H | <ul style="list-style-type: none"> • Recruitment procedures – appointment of suitably qualified/experienced Clerk, and identification of training needs |
| | Poor record keeping | L | H | |
| | Failure to comply with VAT/Inland Revenue regulations | L | M | |

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| | Failure to comply with audit regulations | L | M | <ul style="list-style-type: none"> • Training for Clerk • Training for Councillors • Reference books • Financial Procedure Manual maintained; changes to procedures to be agreed at Parish Council meeting • Retention of suitable internal auditor to check accounts and records on an annual basis • Quarterly accounts circulated to Councillors and included on meeting agendas • Expenditure checked against budget before it is committed to • Bank reconciliation checked to original documentation on a quarterly basis by Chairman |
| | Inadequate precept | L | H | <ul style="list-style-type: none"> • Budget prepared by Clerk following input from Councillors • Precept set on basis of draft budget |

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| | Incorrect salary payments made | L | M | <ul style="list-style-type: none"> Changes to salaries decided at Parish Council meetings and minuted Salary payments made are signed (cheque or online) by 2 Councillors |
| | Payments made to incorrect suppliers/for wrong amount | L | M | <ul style="list-style-type: none"> Payments to be made included on agenda of full Parish Council meetings for review/approval Payments signed (cheque or online) by 2 Councillors Original invoices provided to Councillors signing cheques Direct Debit payments to be limited and mandates signed in accordance with cheque signature procedures |
| | Not maximising interest | L | L | <ul style="list-style-type: none"> Maximise funds kept in interest bearing account Review banking arrangements from time to time |
| | Not maximising grant income | L | L | <ul style="list-style-type: none"> Consider availability of grants when undertaking new projects and apply for any that are appropriate |
| Suppliers/Contractors | Poor reputation of supplier/contractor impacting on Parish Council | L | M | <ul style="list-style-type: none"> Obtain references before trading with new supplier/contractor as appropriate |
| | Supplier/contractor not properly insured | L | M | <ul style="list-style-type: none"> Obtain copy of current insurance as appropriate |

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| | Competitive Pricing/Best Value | L | M | <ul style="list-style-type: none"> • Quotation/tender procedures specified in Standing Orders and followed for new contracts |
| | Management of relationship with major supplier/contractor | L | M | <ul style="list-style-type: none"> • Consider need for dealings with contractor/supplier to be carried out by more than one member of the Parish Council, particularly for initial meeting and signing off work • All paperwork to be routed through Clerk |
| Benches | Health and Safety – risk of injury to public | M | H | <ul style="list-style-type: none"> • Public liability insurance • Inspect every 6 months • Carry out maintenance where necessary |
| | Loss/Damage | L | L | <ul style="list-style-type: none"> • Visual confirmation of existence at least every 6 months • Ensure properly secured • Theft/accidental damage insurance |
| War Memorial | Health and Safety – risk of injury to public | L | M | <ul style="list-style-type: none"> • Public liability insurance • Inspect every 6 months • Carry out maintenance where necessary |
| | Loss/Damage | L | M | <ul style="list-style-type: none"> • Theft/accidental damage insurance |
| Bus Shelters | Health and Safety – risk of injury to public | M | H | <ul style="list-style-type: none"> • Public liability insurance • Inspect every 6 months • Carry out maintenance where necessary |
| | Loss/Damage | L | L | <ul style="list-style-type: none"> • Theft/accidental damage insurance |

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| Notice Boards | Health and Safety – risk of injury to public | L | M | <ul style="list-style-type: none"> • Public liability insurance • Inspect every 6 months • Carry out maintenance where necessary |
| | Loss/Damage | L | L | <ul style="list-style-type: none"> • Visual confirmation of existence at least every 6 months • Ensure properly secured • Theft/accidental damage insurance |
| Dog Bins/Litter Bins provided by Parish Council | Health and Safety – risk of injury to public | L | M | <ul style="list-style-type: none"> • Public liability insurance • Inspect every 6 months • Carry out maintenance where necessary |
| | Loss/Damage | L | L | <ul style="list-style-type: none"> • Visual confirmation of existence at least every 6 months • Ensure properly secured |
| Electrical Equipment | Health and Safety – risk of injury to user/fire risk | L | H | <ul style="list-style-type: none"> • Only purchase electrical equipment that complies with current safety standards • Keep equipment properly maintained • Users to do a visual check on flexes for wear and tear every six months and remove damaged equipment • Test electrical equipment as appropriate |