

**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 1 February 2024

For review at monthly Parish Council meeting in February 2025.

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
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 <i>The Parish Council has the 'General power of competence' so this would be the first point of reference for legal power.</i> For activities not covered by above identify legal powers used for expenditure and note on agendas and minutes
	Not maximising use of legal powers – missing out on things the Parish Council are permitted to do.	M	L	

Business Area	Risk	Likelihood	Impact	Control Measures
<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

				<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) – not required.
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Business Area	Risk	Likelihood	Impact	Control Measures
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 website – includes recent Minutes. • Actively promote Annual Parish Meeting as required by the LGA 1972. • Keep Parish Noticeboards up to date with Parish Council news.
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

Business Area	Risk	Likelihood	Impact	Control Measures
	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 (SLCC/OALC/NALC or the relevant authority).
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	

	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 prescribed councillor.
	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 paid by Standing Order on the 6th day of the month and authorised by minute at the beginning of the financial year.
	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 or online. 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.
Business Area	Risk	Likelihood	Impact	Control Measures
	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
Business Area	Risk	Likelihood	Impact	Control Measures
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

<p>Electrical Equipment</p>	<p>Health and Safety – risk of injury to user/fire risk</p>	<p>L</p>	<p>H</p>	<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
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