

HEATON-WITH-OXCLIFFE PARISH COUNCIL

RISK ASSESSMENT AND LOG

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Risk No.	Description of Risk	Controls in Place/Mitigation	Low / Medium / High Risk	Actions Taken / Planned	Responsibility
R1.	Personal injury/damage to members of the public or their property arising from defects on the council's property	Property comprises of fixed installations. Undertake regular maintenance and prompt repair to any damage by the Lengthsman. Periodically review insurance cover and timely renewal to avoid compensation claims	Medium	Lengthsman will maintain equipment/assets owned/provided by the council. Insurance was reviewed following appointment of the Lengthsman and check annually	Clerk / Lengthsman
R2.	Compensation claim by employee or contractor in respect of injury sustained in the cause of his / her employment / engagement	Low risk given the nature of Clerks work, but medium risk of injury from work carried out by the Lengthsman.	Medium	Insurance reviewed following appointment of the Lengthsman to maintain adequate insurance cover to mitigate compensation claims and associated costs	Clerk / Lengthsman
R3.	Loss of cheques/cash held on behalf of council	Income by cash/cheque is infrequent. Such losses are covered by insurance. Receipts are banked promptly and precept / VAT reimbursement directly paid into bank account	Low	Checked adequacy of insurance cover	Clerk
R4.	Financial loss due to banking error	Bank statements are scrutinised by Clerk upon receipt. Banking arrangements are periodically reviewed and accounts are annually checked by internal and external auditors and periodically by council	Low	Review banking arrangements periodically to secure best possible terms and conditions	Clerk
R5.	Loss of monies due to fraudulent action by employee(s)	All cheques are countersigned by two councillors and checked against invoices. All expenditure is approved by the council and accounts subject to scrutiny by council, internal and external auditors and the public annually	Low	Check adequacy of insurance cover and consider electronic (no signature) banking to improve efficiency in 2016 / 2017	Clerk
R6.	Damage to council property by third party	Some property is intended for public use and potentially at risk of damage by a third party. Maintain property in good condition and ensure adequate insurance cover	Medium	Check adequacy of insurance cover	Clerk
R7.	Compensation claim resulting from (alleged) negligent act or accidental error or omission by the council or its employee(s)	Low risk given current the limited activities of council. Maintain adequate insurance cover and ensure council decisions are based on full information including professional advice where necessary	Low	Check adequacy of insurance cover. Monitor position as Council develops and implements Parish Plan	Clerk/Council
R8.	Actions against the council for libel or slander	Meetings are conducted in accordance with standing orders etc.	Low	Not covered by insurance – consider whether cost of cover justified by risk	Council

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R9.	Failure to represent community interest adequately in relation to matters likely to impact significantly on the parish	Consultation arrangements currently limited. Council is consulted by principal authorities and agencies. Membership of NALC/LALC provides advice	Low	Where required, consultation arrangements with the parish community will be conducted in 2016/2017 (e.g. through newsletters/annual report/website etc)	Council/Clerk
R10.	Order for precept not submitted or paid by local authority/is adequate or incorrect	Precept considered in every January meeting of council and the amount of precept required is built into quarterly review of budget against actual. Receipt of precept checked by Clerk	Low	None required	Council/Clerk
R11.	VAT incorrect/not reimbursed/not properly accounted for	VAT analysed in cash book maintained by Clerk and scrutinised by council. VAT returns submitted agreed and submitted annually. Checked by internal and external auditors	Low	None required	
R12.	Financial records inadequately / incorrectly maintained	Clerk is a qualified accountant/audit professional (CIPFA) and trained as a professional Parish Clerk	Low	None required	
R13.	Unidentified / inadequate general and / or earmarked reserves	Considered in Minutes and budget setting / review of annual accounts	Medium	Needs more development a part of the review of the Parish Plan each year as well as arrangements to determine reserves in advance based on capital expenditure plans	Council/Clerk
R14.	Minutes are inaccurate / illegal	Minutes are approved by council at following meeting. Clerk has undergone necessary training	Low	Ongoing professional development as required and Councillor training	Clerk/Council
R15.	The council undertakes / makes a payment that is illegal / outside its powers	Clerk has advised council of its legal powers and is undergone training to be able to advise council on its legal powers	Low	Ensure councillors are aware and kept up-to-date on the legal powers of parish councils	Clerk
R16.	Employee(s) performance is inadequate / underdeveloped	Annual appraisal of Clerk's performance and development is in place. Some areas for further development identified. Clerk is a member of SLCC	Low	Maintain annual performance/development appraisal. Clerk to undertake training and continuous development as required	Council
R17.	Loss of key personnel (Clerk) through long term illness / early resignation etc.	Clerk in good health and committed to work as demonstrated by undergoing training	Low	Monitor risk and manage as necessary	Council