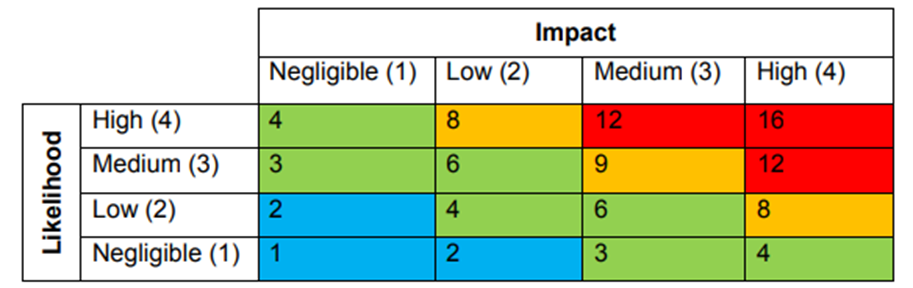
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| --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **No** | **Item** | **Hazard** | **Those in Danger** | **Impact 1-4** | **Likelihood 1-4** | **Risk Rate** | **Measures / comments** | **Result** |
| 1 | Recreational Areas Mill Road Bell Park & De Aston Field | Play Equipment Vandalism Cost of Replacement | Injury to people using Play Equipment | 3 | 3 | 9 | Twice Weekly in-depth recorded inspection of Play area/equipment by Staff. Additional weekly visual checks.  Annual inspection carried out by ROSPA  Dated Insurance including Public Liability. | A |
| 2 | Trees on Council land | Falling Branches/ Debris | Injury to Pedestrians, pets and vehicles | 3 | 3 | 9 | Visual inspection of trees by staff.  Regular tree inspection by suitably qualified professional  Dated Insurance including Public Liability | A |
| 3 | Gates and Fencing on Council land | Vandalism Repair costs Cost of Replacement | Pedestrians | 2 | 1 | 3 | Repair cost  Dated insurance including Public Liability | T |
| 4 | Street Furniture owned / maintained by the Council | Vandalism Impact Damage Cost of Replacement | Pedestrians | 2 | 4 | 8 | Dated insurance, including Public Liability  Make contingency provision in Council Reserves | T |
| 5 | Festival hall | Cost of repairs  Potential danger to service users | Service users | 3 | 3 | 9 | Dated insurance, including Public Liability  Adequate Checking and reporting systems in place  Fully separately risk assessed, and copies of service user required documents held. | A |
| 6 | Market place | Cost of repairs  Potential danger to service users | Service users | 3 | 3 | 9 | Dated insurance, including Public Liability  Adequate Checking and reporting systems in place  Fully separately risk assessed, and copies of service user required documents held. | A |
| 7 | War Memorial | Cost of repairs  Cost of replacement Damage to Memorial Vandalism | Loss of Heritage | 1 | 4 | 4 | Dated insurance, including Public Liability Make contingency provision in Council Reserves | T |
| 8 | Office I.T Equipment | Cost of replacement  Repair cost Accidental Damage | Staff  Councillors  Parishioners | 3 | 4 | 12 | Dated Insurance Including Public Liability  Leased equipment eliminates most risk. | A |
| 9 | Failure to attract sufficient candidates for Member vacancies or elections | Reduced representation of neighbourhoods.  Lack of resource Possible meeting inquorate | Members | 1 | 3 | 4 | Actively publicise Council activities  seek candidates amongst friends and colleagues publicise elections & vacancies on notice boards publicise elections & vacancies in Parish Newsletter and website publicise elections & vacancies in local newspapers | A |
| 10 | Failure to achieve quorum at meetings | Business not transacted Decisions not made | Members  Clerk | 2 | 1 | 3 | issue annual meeting calendar to all members issue meeting agendas promptly record attendance  contact members who fail to attend meetings | T |
| 11 | Lack of public consultation by Council | Decisions not based on evidence People disenfranchised | Members | 2 | 3 | 4 | ensure meetings publicised on notice boards  use Annual Parish Meeting  place articles in local newspaper include public participation on all agendas ensure seating available at meeting for public provide advice for members of the public attending publish agendas and minutes on website | T |
| 12 | Failure to respond to electors wishing to exercise right of inspection | Complaints received  Not transparent Non compliance | Clerk | 1 | 2 | 2 | Clerk to advertise facility, and respond to requests | A |
| 13 | Members acting alone outside meetings | Members outside compliance Indemnities invalid Personal risk | Members | 3 | 2 | 6 | ‘Good Councillor Guide’ available to all councillors  Councillors to avoid making commitments on behalf of the council  Councillors encouraged to attend relevant training courses | A |
| 14 | Council decisions not implemented | Confidence undermined Reputation risk arises Possible losses | Clerk / staff | 1 | 1 | 2 | Action log maintained and noted each month | A |
| 15 | Inaccurate, untimely, improper minutes | Poor decisions in future Poor evidence for decisions | Clerk | 2 | 2 | 4 | Clerk to check minutes with Chairman not more than 7 days after meeting.  Minutes circulated to all members with next agenda | A |
| 16 | Inadequate document control | Poor evidence Poor support to Members | Clerk | 2 | 2 | 4 | Established electronic filing and retrieval system Clerk to enforce document version control | A |
| 17 | Failure to recognise and address conflict of interest | Lack of transparency Open to complaints of fairness or bias | Members  Clerk | 1 | 2 | 3 | Members to review adopted code of conduct | A |
| 18 | Incomplete/inaccurate register of Members’ interests | Lack of transparency Open to complaints of fairness or bias | Members | 1 | 2 | 3 | Members to comply with legislation / code of conduct | A |
| 19 | Failure to complete/submit Annual Return on time | Poor Auditors report  Public confidence suffers | Clerk | 1 | 1 | 2 | Clerk to comply with required dates. | A |
| 20 | Improper contracting procedures | Possible losses Poor levels of service Possible increased costs | Clerk/staff | 1 | 3 | 4 | Model adopted, separate financial regs  Clerk adequately trained | A |
| 21 | Loss of data | Interruption to effective administration Possible financial loss | Clerk/ Staff | 3 | 1 | 4 | Cloud based storage used. | A |
| 22 | Loss of services of key staff | Interruption to effective administration | Members  Clerk | 3 | 3 | 9 | Multiple staff trained to undertake wide range of financial and administrative tasks.  Locum Panel of experienced Parish and Town Clerks provided by the Society of Local Council Clerks able to assist in an emergency | A |
| 23 | Lack of professional advice | Poor decisions  Costs and waste Possible noncompliance | Clerk  Members | 2 | 2 | 4 | Maintain membership of LALC (which includes NALC) and SLCC | A |
| 24 | Lack of defined objectives or strategy | Resources not directed Poor performance Risks not base lined | Members | 2 | 2 | 4 | Council to produce an agreed 3-year strategy.  Attend training sessions if practicable. | A |
| 25 | Failure to correctly identify local needs or wishes | Council does not represent the people Resources not applied Democratic deficit | Members | 2 | 2 | 4 | maintain close contact with local residents advertise meetings to obtain residents’ feedback use questionnaires to identify local wishes publicise plans and invite comments use events to seek views and feedback | A |
| 26 | Financial | Misappropriation of Council Funds Financial loss | Public Services | 2 | 1 | 3 | All Banking Arrangements and changes to banking services approved by the council and recorded in the minutes. Internet Banking two Councillors to authorise online. Quarterly reconciliation of Accounts viewed as part of internal control checks by a member of the finance committee. Quarterly scrutiny of all Financial Records by finance committee & twice a year by internal auditor. External Auditor to advise Clerk of the Council.  All changes in banking instructions, mandates etc. to be in writing and copies saved  Keep cash payments to a minimum and avoid if possible. | A |
| 27 | Income Ensuring that all requirements are met under custom & excise regulations | Unable to fulfil responsibilities | Public Service | 2 | 1 | 3 | Ensure Council understands and complies with current VAT legislation | A |
| 28 | Orders for Work, goods and services Monitoring of performances against agreed standards under partnership agreements | Unable to fulfil responsibilities | Public Service | 2 | 2 | 4 | Reviewed at internal audit  Purchase order system used | A |
| 29 | Lack of public participation at meetings | Public voice not heard Potential lack of interest in vacancies Lack of transparency | Members | 1 | 2 | 3 | Ensure meetings publicised on notice board include public participation on relevant agendas ensure seating available at meeting for public provide advice for members of the public attending publish agendas and minutes on website | A |
| 30 | Allegations of libel or slander | Potential for litigation Costs of investigation Reduces confidence | Members | 2 | 3 | 6 | Clerk / chairman to intervene at meetings.  Clerk to review all press releases before release  Adequate Insurance Cover | A |
| 31 | Bad publicity | Reduces confidence | Members  Clerk | 2 | 2 | 4 | Clerk to review all press releases or newsletter articles before release manage press relations | A |
| 32 | Accidental damage to fixed assets | Costs of repair Loss of service until repaired | Clerk  Members  Service users | 1 | 3 | 4 | Maintain insurance  Inspection regime established for all service areas / assets | A |
| 33 | Vandalism to fixed assets | Costs of repair Loss of service until repaired | Clerk  Members  Service users | 1 | 3 | 4 | Maintain inspection regimes Maintain insurance  Liaison with Police | A |
| 34 | Loss to third parties | Possible litigation Costs/damages | Clerk | 3 | 3 | 9 | Review health & safety ensure adequate insurance  check contractors’ insurance | A |
| 35 | Inadequate insurance | Balance of costs to be found | Clerk  Public service | 3 | 1 | 4 | Council to review annually or if circumstances change | A |
| 36 | Failure to calculate/submit precept on time | Inadequate resources to meet commitments Costs of re-billing | Clerk  Public service  Members | 4 | 1 | 4 | Clerk to respond to WLDC notices set process via committees and Full Council for Members to consider and approve. | A |
| 37 | Inadequate annual precept and unsound budget | Inadequate resources to meet commitments | Public service Members | 4 | 1 | 4 | Clerk and Members to build sound budget, using risk register and known commitments. Members to consider Reserves Policy built into Financial Regulations  Start consideration of need at least 4 months prior to submission date. | A |
| 38 | Failure to account for and recover VAT | Wasted resources | Clerk | 2 | 1 | 3 | Clerk to review Internal auditor to check | A |
| 39 | Failure to stay within agreed budgets | Inadequate control  Potential wasted resources | Members  Clerk | 2 | 1 | 3 | Finance Committee/ Clerk review quarterly and recommend any action to Council.  Internal auditor to check  Reserves to mitigate short-term impact of loss. |  |
| 40 | Holding excessive or inadequate reserves | Auditors report Poor use of resources Inability to meet commitments | Members | 2 | 1 | 3 | Clerk to review as part of budgeting  General Reserves set to JPAG guidance  Council to review size of Reserves | A |
| 41 | Fraud by Clerk/staff | Reputation Costs, Litigation | Clerk / staff | 2 | 1 | 3 | Adequate internal audit Regular reporting to members Control systems for managing expenditure | A |
| 42 | Fraud by Members | Reputation Costs, Litigation | Clerk/Members | 2 | 1 | 3 | Adequate internal audit  Regular reporting to members  Control systems for managing  expenditure | A |
| 43 | Inadequate awareness of relevant legislation | Failure to comply | Members Clerk | 2 | 2 | 4 | Maintain membership of LALC/NALC Clerk to train/qualify | A |
| 44 | Failure to comply with relevant legislation | Litigation Costs Reputation damage | Members Clerk | 2 | 2 | 4 | Maintain membership of LALC/NALC  Clerk to maintain training Liaise with internal and external auditors  Ensure that all Councillors have copies of Standing Orders.  Highlight essential parts and provide training where possible.  Ensure that Standing Orders are produced, understood by councillors, and reviewed at least once per year.  Regular reference to appropriate regulations in agenda items. | A |
| 45 | Failure to maintain fixed assets register | Improper control Poor auditor’s report | Clerk | 2 | 1 | 2 | Council to review Internal audit to review | A |
| 46 | Improper financial records | Potential for wasted resources | Clerk | 1 | 2 | 2 | Internal audit to review  Ensure all councillors are familiar with current financial regulations and include them in the council’s Standing Orders.  RFO to ensure that books of account are formatted in such a way that internal controls are included and activated | A |
| 47 | HMRC requirements not met | Costs Litigation | Clerk | 1 | 1 | 1 | External payroll advisors and Clerk to liaise as necessary | A |
| 48 | Failure to comply with deadlines for accounts and returns | Poor auditor’s report  Reduction in confidence | Clerk | 1 | 2 | 2 | Clerk to liaise with internal and external audit |  |
| 49 | Non-compliance with data protection | Litigation Poor reputation | Clerk | 2 | 2 | 4 | Clerk to monitor | A |



Risks scoring 12 and above will be subject to detailed consideration and preparation of a contingency/action plan to appropriately control the risk.

**Results Key – T = TRIVIAL RISK A = ADEQUATELY CONTROLLED RISK N = NOT ADEQUATELY CONTROLLED U = UNABLE TO DECIDE (MORE INFORMATION REQUIRED)**

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