

## Longdon Parish Council Risk Assessment Register

### 1 ORGANISATION

| Ref | Risk                       | Probability | Impact | Policy  | Responsible Person            | Frequency of review   |
|-----|----------------------------|-------------|--------|---|-------------------------------|---|
| 1.1 | Loss of Clerk              | High        | High   | Maintain continuity via SPCA details of Locum Clerk service.<br>Access all Council records via emergency procedures.  | Council Chairman              | Quarterly<br><br>No actions 10/3/17   |
| 1.2 | Loss of RFO                | High        | High   | SPCA assistance to be sought for locum RFO.<br>Chair of F&GP to temporarily act as RFO  | Clerk<br>Chairman             | Quarterly<br><br>No actions 10/3/17   |
| 1.3 | Loss of IT data            | Medium      | High   | Data secured monthly on backup system.<br>Help sought from local IT company.  | Clerk                         | Quarterly<br><br>Hard drive to passed to Chair of PC 10/3/17                      |
| 1.4 | Loss of Councillor         | Medium      | Low    | Guide to casual vacancy filling document obtained from SPCA.  | Clerk                         | Annual  |
| 1.5 | Lone / Home Worker         | Low         | Low    | Check that worker has taken all responsible precautions for his/her own safety. Check the worker has proper equipment. Avoid undue time demands that necessitate long unbroken hours. | Employment Committee<br>Clerk | Annual  |
| 1.6 | Loss of Electronic support | High        | High   | Ensure that insurance is up to date on all equipment. Ensure policy in place re the care and maintenance of electronic equipment – possible purchase of care plan?                    | Council Clerk                 | Quarterly<br><br>Hard drive to passed to Chair of PC and review insurance. Review |

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|  |  |  |  |  |  | equipment<br>warranty. 10/3/17 |
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### 2 PLANNING

| Ref | Risk   | Probability | Impact | Policy   | Responsible Person            | Frequency of review               |
|-----|--|-------------|--------|--|-------------------------------|-----------------------------------|
| 2.1 | Statutory/LDC Plans and Frameworks not met                           | Medium      | Low    | Maintain up to date references   | Council Clerk                 | Six months                        |
| 2.2 | Parish Characteristics, aesthetics, neighbourhood impact degenerated | Medium      | High   | Consider local environmental impact. Maintain predominant features, quantify requirement, consider future plans. | Councillors Council           | Quarterly<br>No Action<br>10/3/17 |
| 2.3 | Disagreement with LDC  | Medium      | Medium | Ensure proper procedures followed. Collect and record evidence, obey time schedules.                             | Councillors                   | Six months                        |
| 2.4 | Enforcement – developers breaching planning application              | Medium      | Medium | Gather evidence and involve SCC/LDC as appropriate.  | Councillors / LDC Councillors | Six months                        |

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### 3 GREEN AND OPEN SPACES

| Ref | Risk  | Probability | Impact | Policy  | Responsible Person | Frequency of review   |
|-----|---|-------------|--------|---|--------------------|-----------------------|
| 3.1 | Mowing needs not fulfilled                      | Medium      | High   | Identify area and schedule clearly. Ensure no obstructions at time required and access available. Ensure contractor fully insured   | H&OS Committee     | Quarterly<br>07/02/17 |
| 3.2 | Damage, injury or poisoning from trees / shrubs | Low         | High   | Identify trees/shrubs. Advise owner/tenant – if on SCC land consider clearance. Adequate insurance cover.   | H&OS Committee     | Six Months            |
| 3.3 | Open Areas unsuitable for purpose               | Low         | High   | Keep clear of rubbish and ensure clearance of any unwanted vegetation. Repair any broken, sunken areas or potholes. Mow/strim as required. Repair vandalism and advise police if necessary. | H&OS Committee     | Six Months            |
| 3.4 | Incorrect usage of open areas                   | Low         | Low    | Signage to clarify use  | H&OS Committee     | Annual                |
| 3.5 | Benches   | Low         | Low    | Monitor condition of benches. Take action to repair any faults or remove item if faults are found.  | H&OS Committee     | Annual                |
| 3.6 | Notice Boards                                   | Low         | Low    | Monitor condition of notice boards. Take action to repair any faults or remove item if faults are found.  | H&OS Committee     | Annual                |
| 3.7 | Finger Posts                                    | Low         | Low    | Monitor condition of finger posts. Take action to repair any faults or remove item if faults are found.   | H&OS Committee     | Annual                |

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|-----|--------------|-----|-----|---|----------------|--------|
|     |              |     |     | found.  |                |        |
| 3.8 | Bus Shelters | Low | Low | Monitor condition of finger posts. Take action to repair any faults or remove item if faults are found. | H&OS Committee | Annual |

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### 4 HIGHWAYS AND FOOTPATHS

| Ref | Risk   | Probability | Impact | Policy  | Responsible Person | Frequency of review   |
|-----|--|-------------|--------|---|--------------------|-----------------------|
| 4.1 | Unsuitable for purpose   | Medium      | High   | Evaluate ditches, bridleways, footpaths and pavements. Report to appropriate authority any faults found.                                    | H&OS Committee     | Quarterly<br>07/02/17 |
| 4.2 | Deterioration of areas   | Low         | Medium | Encourage discipline on litter, animal excrement. React to walkers feedback.  | H&OS Committee     | Annual                |
| 4.3 | Unclear route marking  | Low         | Medium | Work through the committee to ensure markers are clear and up to date.  | H&OS Committee     | Annual                |
| 4.4 | Falls, slips, damage, entrapment or unwanted access due to fences, stiles or gates | Medium      | High   | Monitor gateways etc. – no sharp edges, correct step pitch and fastenings. Instruct land owner / tenant to maintain and/or replace.         | H&OS Committee     | Quarterly<br>07/02/17 |
| 4.5 | Inaccurate promotion of the footpaths  | Low         | Low    | Ensure that maps and walks are up to date and clear. Ensure that they are walked at least once per year to check routes.                    | H&OS Committee     | Annual                |
| 4.6 | Floral tubs  | Low         | Low    | Ensure that the are in good condition and well planted to avoid trailing plants and soil creep. Tubs to be replaced if found to be unsound. | H&OS Committee     | Annual                |

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### 5 FINANCIAL AND GENERAL PURPOSES

| Ref | Risk                   | Probability | Impact | Policy   | Responsible Person          | Frequency of review |
|-----|------------------------|-------------|--------|--|-----------------------------|---------------------|
| 5.1 | Loss of Council Assets | Medium      | Low    | Secure storage of Assets. Theft / loss of assets insured for replacement cost.<br>Internal auditor to review asset register and insurance.<br>Clerk to check assets on an annual basis.  | Clerk<br>Internal Auditor   | Six Months          |
| 5.2 | Theft / Fraud          | Low         | High   | Regular scrutiny by Members of financial records.<br>Proper recording in minutes of all approval for spending and powers under which spend is authorised.<br>Regular budget monitoring by Members.<br>Regular bank reconciliations review by Members.<br>Regular review of financial regulations by Members.<br>Review financial limits on Fidelity insurance to cash balances.<br>Review of letter of appointment for Internal Auditor to include areas of risk – VAT, PAYE, cheque signing, adequacy of invoicing, powers and council income.<br>Review of effectiveness of internal Auditors report.<br>Committee. Council approval for changes to payroll authority. | Members<br>Internal Auditor | Six Months          |
| 5.3 | Non-compliance with    | Medium      | Medium | Regular scrutiny of Standing Orders by Members.<br>Scrutiny of Standing Orders by Internal Auditor.  | Members<br>Internal Auditor | Six Months          |

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|     | Standing Orders                             |        |        |   |                |            |
| 5.4 | Injury / loss to recipient of Council asset | Low    | Low    | Public liability insurance indemnity of £5million. Regular scrutiny of insurance by Members. Emergency policy to delegate authority to clerk to commit finances without prior approval of Council in emergency situation.                   | Council Clerk  | Annual     |
| 5.5 | Loss of Income                              | Low    | Low    | Regular budget monitoring by Members to ascertain income. Cash Book reconciliation monitoring by Members. Annual monitoring of income stream levels (Longdon Life adverts etc.) Authority for Clerk/RFO to transfer funds between accounts. | F and GP Clerk | Annual     |
| 5.6 | Propriety – Councillor abuse of position    | Low    | Low    | Maintain register of interest and question as each topic arises. Gifts and hospitality to be declared. Code of Conduct signed by councillors.   | F and GP Clerk | Annual     |
| 5.7 | Loss or unexpected reduction of income      | Low    | High   | All expenditure pre budgeted and sufficiently resourced.  | F and GP Clerk | Six Months |
| 5.8 | Cash Security                               | Low    | Low    | Do not hold cash. Two signatories of all payments by cheque. Receipts for all transactions. Safe custody of documentation with the Clerk.   | F and GP       | Annual     |
| 5.9 | Inadequate insurance                        | Medium | Medium | Assess risk to assets and to liabilities. Determine and record which risks to be accepted. Use established UK based insurance company,  | F and GP       | Six Months |

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|      |                         |        |        |   |          |            |
|------|-------------------------|--------|--------|---|----------|------------|
|      |                         |        |        | securely underwritten.  |          |            |
| 5.10 | Abuse of expenses       | Low    | Low    | Prior sanction of all expenses. Repayment against receipts only.  | F and GP | Annual     |
| 5.11 | Budget too low/high     | Low    | Low    | Use historic data and work to and agreed forecast programme. Work to realistic estimates or accurate quotes. Use budget to set precept.   | F and GP | Annual     |
| 5.12 | Problems with contracts | Medium | Medium | Ensure full tender documentation in place to get quotes. Agree price and costs before letting the contract. Council to consider unforeseen work prior to work taking place. Agree stage payments if necessary. Ensure contractors are fully insured prior to starting the work. | F and GP | Six Months |

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### 6 DEMOCRATIC

| Ref | Risk                             | Probability | Impact | Policy  | Responsible Person   | Frequency of review |
|-----|----------------------------------|-------------|--------|---|----------------------|---------------------|
| 6.1 | Defamation                       | Low         | High   | Libel and Slander Insurance of £250,000. Members to periodically undergo Code of Conduct training.  | Clerk<br>Members     | Annual              |
| 6.2 | Compliance with Code of Conduct  | Low         | High   | Completion of signed acceptance of office to abide by the Council Code of Conduct. Annual review of Members interests.  | Members              | Annual              |
| 6.3 | Representation on Outside Bodies | Low         | Low    | Council to review financial risks from decisions made by outside bodies in which it has members. Council to ensure that members of Charity Trusts review individual actions in line with Charity Commissioners website. | Members              | Annual              |
| 6.4 | Inaccurate minutes               | Low         | Medium | Drafts to be approved by Chair prior to being sent to all councillors. Minutes to be approved at next meeting.  | Chair<br>Clerk       | Six Months          |
| 6.5 | Loss of minutes                  | Low         | High   | Electronic backing up of all minutes to Cloud and/or hard drive   | Clerk                | Six Months          |
| 6.6 | Deficient Standing Orders        | Low         | Low    | Standing orders to be reviewed once a year by F and GP and the Full Council. Chair of F and GP and Clerk to review quarterly and advise full council of changing circumstances.   | F and GP<br>Clerk    | Annual              |
| 6.7 | Image of the Council             | Low         | Low    | Put out a Parish News once per month following full council to advise of actions of council. Copy to be sent to contact for main press. Clerk to  | Councillors<br>Clerk | Annual              |

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|     |                                |        |        | update the website with information at least monthly.   |             |            |
| 6.8 | Business of the parish council | Medium | Medium | Ensure council is quorate at full council and committee meetings. Ensure documentation is published to standard timescales.                             | Councillors | Six Months |
| 6.9 | Venues for Meetings            | Low    | Low    | Ensure that venues are accessible and appropriate for intended use. Ensure that fire drill and fire escapes are mentioned at beginning of each meeting. | Clerk       | Annual     |

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