

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. Access all Council records via emergency procedures.	Council Chairman	Quarterly Monthly as Clerk has resigned
1.2	Loss of RFO	High	High	SPCA assistance to be sought for locum RFO. Chair of F&GP to temporarily act as RFO	Clerk Chairman	Quarterly Monthly as clerk has resigned
1.3	Loss of IT data	Low	High	Data secured monthly on backup system. Help sought from local IT company. Hard drive purchased and held with Chair. Chair to bring to meetings to allow for back up of data.	Clerk	Quarterly 9/10/17
1.4	Loss of Councillor	Low	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 Clerk	Annual

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1.6	Loss of Electronic support	High	High	Ensure that insurance is up to date on all equipment. Hard drive purchased and placed with Chair to allow for back up at meetings.	Council Clerk	Quarterly 9/10/17
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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 2/10/17
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 2/10/17
2.3	Disagreement with LDC	Medium	Medium	Ensure proper procedures followed. Collect and record evidence, obey time schedules.	Councillors	Six months 2/10/17
2.4	Enforcement – developers breaching planning application	Medium	Medium	Gather evidence and involve SCC/LDC as appropriate.	Councillors / LDC Councillors	Six months 2/10/17

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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 2/10/17
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 2/10/17
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 2/10/17
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

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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
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 2/10/17
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 2/10/17
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. Internal auditor to review asset register and insurance. Clerk to check assets on an annual basis.	Clerk Internal Auditor	Six Months 2/10/17
5.2	Theft / Fraud	Low	High	Regular scrutiny by Members of financial records. Proper recording in minutes of all approval for spending and powers under which spend is authorised. Regular budget monitoring by Members. Regular bank reconciliations review by Members. Regular review of financial regulations by Members. Review financial limits on Fidelity insurance to cash balances. Review of letter of appointment for Internal Auditor to include areas of risk – VAT, PAYE, cheque signing, adequacy of invoicing, powers and council income. Review of effectiveness of internal Auditors report. Committee. Council approval for changes to payroll authority.	Members Internal Auditor	Six Months 2/10/17

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5.3	Noncompliance with Standing Orders.	Low	Low	Regular scrutiny of Standing Orders by Members. Scrutiny of Standing Orders by Internal Auditor.	Members Internal Auditor	Six Months 2/10/17
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. Policy written re volunteers working for council with forms to be completed by volunteer / council.	Council Clerk	Annual 2/10/17
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 2/10/17
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 council.	F and GP Clerk	Annual 2/10/17
5.7	Loss or unexpected reduction of income	Low	High	All expenditure pre budgeted and sufficiently resourced.	F and GP Clerk	Six Months 2/10/17
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

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5.9	Inadequate insurance	Low	Low	Assess risk to assets and to liabilities. Determine and record which risks to be accepted. Use established UK based insurance company, securely underwritten.	F and GP	Six Months 2/10/17
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 2/10/17

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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 Members	Annual 9/10/17
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 9/10/17
6.3	Representation 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 9/10/17
6.4	Inaccurate minutes	Low	Low	Drafts to be approved by Chair prior to being sent to all councillors. Minutes to be approved at next meeting.	Chair Clerk	Six Months 9/10/17
6.5	Loss of minutes	Low	Low	Electronic backing up of all minutes to Cloud and/or hard drive	Clerk	Six Months 9/10/17
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 Clerk	Annual 9/10/17

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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 update the website with information at least monthly.	Councillors Clerk	Annual 9/10/17
6.8	Business of the parish council	Low	Low	Ensure council is quorate at full council and committee meetings. Ensure documentation is published to standard timescales.	Councillors	Six Months 9/10/17
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 9/10/17

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