

Charminster Parish Council Risk Assessment - agreed at meeting on 5th June 2018				
A risk assessment is a systematic general examination of working conditions, activities and environmental factors in order to identify risks that could result in the Parish Council not being able to deliver the services or activities expected of it.				
All areas need to be considered, risks need to be identified, ways to manage and control the risk need to be evaluated and recorded, and the process must be reviewed annually in a systematic, demonstrable fashion.				
Risk Identified	Type	Likelihood	Severity	Mitigation Action/s
The absence of an adequate internal audit procedure in place.	Financial & Procedural	L	H	1) Appointment of internal auditor to be agreed at Annual General Meeting
Insurance is inadequate.	Financial	M	H	1) Clerk & RFO to review insurance cover in May and make recommendations to the June meeting (prior to renewal in July) ensuring cover is provided for all council staff and members for personal accident and assault, employer's liability, slander and libel.
Loss or damage to third parties on Council owned assets or land.	Litigation	M	H	1) Councillors to conduct annual review of assets for insurance provision. 2) Ensure all appropriate assets or land is inspected by an appropriate inspection agency. 3) Council members to conduct weekly inspections of play areas.
Tree falling on people/properties	Litigation	L	H	1) Five yearly inspections by qualified tree surgeon 2) Act on recommendations quickly 3) Ensure insurance is valid and covers risks
Travellers occupy Parish Council land	Financial	L	M	1) Clerk is authorised to take legal advice immediately (up to £1,000)
Failure to prepare and approve a budget	Financial	L	H	1) Clerk to put approval of budget as a standard agenda item for the December meeting
Precept not submitted in time	Financial	L	H	Chairman to ensure document is sent to WDDC within correct timescale and report to members in December or January. RFO to submit precept request form within the required time frame
VAT is not reclaimed correctly.	Financial	L	L	1) Subject records to both internal and external audit. 2) Ensure council financial regulations are upheld. 3) Clerk to report receipt of VAT repayment when seeking confirmation of bank statement.

Loss of council paper records.	Business Continuity	L	H	1) Recent paper records to be stored in fire-proof filing cabinet. 2) Historical paper records to be provided to the Records Office. 3) Filing and Record Keeping procedures to be reviewed by the Clerk every five years.
Loss of council electronic records.	Business Continuity	L	H	1) Monthly backups to be made of all records on the Clerk's computer and to 1&1 storage 2) Copies of the backups to be provided for off-site storage at council meetings (Chairman, Vice-Chairman etc). 3) Backup procedures to be reviewed annually by Council.
Council staff files for unfair dismissal or other employee grievances.	Litigation	L	H	1) All appointments and dismissals to be in accord with the PC's policy on recruitment and employment (including grievance and appeals). 2) All staff to have current employment contracts. 3) All employment procedures and policies to be reviewed annually by the Parish Council
Clerk unavailable	Business Continuity	M	M	1) Produce business continuity plan 2) Use of RFO
Council member has a conflict of interest.	Procedural	M	M	Ensure declaration of interests is an early agenda item for all meetings.
Loss of deeds for council owned property.	Business Continuity	M	M	1) Clerk to identify and list all deeds and leases. 2) Clerk to update list with any new acquisitions as and when these occur. 3) List to be reviewed by Council annually.
Loss of Asset.	Financial	M	M	1) Register of assets to be maintained by Council. 2) Register to be reviewed annually by Council.
Precept Inadequate	Financial	L	M	1) Financial estimates to be checked by F&GP committee before submission to council 2) Council agreement of estimates at November or December meeting. 3) Ensure reserve of £5000 is held to cover unforeseen expenditure and review annually.
Full precept not received	Financial	L	M	Ensure reserve of £5000 is held to cover unforeseen expenditure and review annually.
Irregularities in financial records	Financial	L	M	1) Subject records to both internal and external audit. 2) Ensure council financial regulations are upheld. 3) F&GP to review accounts in detail before annual accounts are submitted to full council.
Bank makes a transactional mistake.	Financial	L	M	RFO reconciles bank account status monthly and reports any discrepancies not immediately resolved to the Council.
Failure to comply with Financial Regulations.	Financial	L	M	1) Subject records to both internal and external audit. 2) Ensure council financial regulations are upheld. 3) Re-assess council procedures annually.
Lack of understanding of Grant process.	Financial	L	M	1) Awareness of S137 and Council powers needs to be maintained, likely by appropriate training of clerk. 2) Awareness to be reviewed annually by Council.
Management of received grant is insufficient.	Procedural	L	M	Working Party to be set up to monitor any activity covered by a grant.

Receipts incorrect or missed.	Financial	L	M	1) RFO and manager of shop agree reconciliation of booking forms with cash receipts for tennis courts. 2) RFO agrees annual cheque with allotment society treasurer based on occupancy records. 3) Clerk records burial charges and receipts
Contractor overspends on tendered work.	Financial	L	M	1) Financial progress to be monitored by Council. 2) Use fix priced contracts wherever possible.
Contractor has inadequate insurance and/or Health and Safety procedures in place.	Litigation	L	M	1) Tendering process to be agreed by Council. 2) Tenders to be approved by Council before awarding.
Contractor fails to perform on tendered work.	Litigation	L	M	1) Clerk to report any inadequacies in performance to Council. 2) Council to follow procedures for handling contractors.
Mistakes made in salary payments and NI/Tax submissions.	Financial	L	M	1) Salaries documented and information provided annually to Council for review. 2) Subject records to both internal and external audit.
Staff working conditions fail HSE regulations.	Procedural	L	M	1) Health and Safety assessments to be carried out at each workplace and village halls annually.
A member of staff or council member exceed their legal powers.	Procedural	L	M	1) Council Member and staff powers to be reviewed annually against legal requirements and any changes to be presented at the next available opportunity. 2) Any complaints to be dealt with according to Council regulations. 3) Council regulations to be reviewed annually.
Council member fails to complete their Register of Member's Interests submission.	Procedural	L	M	1) The Register of Member's Interests forms to be handed out at the AGM for updating. 2) Clerk to ensure up to date forms have been received from all members after the AGM and posted on the website.
Council fails to meet it's obligations under GDPR	Litigation	L	M	A policy to be devised and adopted.
Council fails to meet it's obligations under the Freedom of Information Act.	Litigation	L	M	A policy is available on the Parish Council website
Failure to meet response timescales for a planning consultation invitation.	Procedural	L	M	1) Clerk will pass on consultations to delegated Councillor. 2) Report on consultation to be provided to Council at next available meeting.
Failure to communicate Council activities to electors.	Procedural	L	M	1) Notices of meetings and draft minutes to be placed on the notice boards. 2) Structural documents e.g Standing Orders, Financial Regulations to be made available on the PC's website along with draft minutes.
Flooding in properties within Parish.	Emergency	L	M	1) Flood wardens to report annually
Both Chairman and Vice-Chairman unavailable	Business Continuity	L	L	Council procedures to be followed.
Financial records are inadequate	Financial	L	L	Subject records to both internal and external audit.
Bank account incurs charges	Financial	L	L	RFO reports to council
Loss of cash through theft or dishonesty.	Financial	L	L	1) All incoming cash to be banked within 3 banking days. 2) RFO and C.D. Shop Manager to both sign tennis court receipt book. 3) No petty cash or float maintained.

Goods or services not supplied but billed.	Financial	L	L	RFO to reconcile invoices against orders and report discrepancies to Council.
Incorrect invoice received.	Financial	L	L	RFO to reconcile invoices against orders and report discrepancies to Council.
Incorrect cheque sent.	Financial	L	L	Cheques and invoices to be checked and signed by Clerk and 2 councillors.
Tender not awarded under Best Value Accountability.	Financial	L	L	1) Tendering process to be agreed by Council. 2) Tenders to be approved by Council before awarding. 3) Review Financial Regulations annually.
Fraud by staff.	Financial	L	L	1) All incoming cash to be banked within 3 banking days and reported to Council. 2) No petty cash or float maintained. 3) Subject records to both internal and external audit.
Mistake made by staff including failure to take account of changes in legislation and procedures.	Procedural	L	L	1) All staff to receive relevant training and support to fulfil their role. 2) Annual performance reviews held with staff to identify any training requirements.
Councillor allowances or hospitality claims are incorrect.	Financial	L	L	1) Chairman expenses minimal. 2) Expenses to be reviewed annually. 3) Code of Conduct is signed by all new Members and existing members at the AGM and a register of gifts and hospitality to be maintained by the Clerk.
Meeting documents (e.g. minutes etc) are inadequate or inaccurate.	Procedural	L	L	1) All documents submitted to council members for review. 2) All documents agreed as correct at next meeting or corrections included. Document to be signed off by Chairman.
Unforeseen problems occur	All	L	H	Review risk assessment document annually.
Cemetery charges being out of line with local cemeteries	Financial	L	L	Review cemetery charges every 5 years.