

Agenda Item 7g

Barrowford Parish Council – Risk Management Register 2016 – 2017

Risk	Probability	Impact	Mitigation	Control	Responsibility
Personal injury or damage to member (s) of the public or their property arising from defect (s) in Council property.	Low – Council Seating, Notice boards, Planters, Allotments. Medium – Christmas decorations Remembrance Sunday Parade.	Claims for compensation and costs to the Council in defending claims where appropriate	Covered under the Council's insurance policy – (£5 million)	Regular maintenance and prompt repair of any damage. Periodic review of insurance cover and timely renewal.	Clerk Clerk
Compensation claim by employee (or contracted person) in respect of injury sustained in the cause of his/her employment /engagement.	Low – Clerk Cleaner given nature of duties. Medium- Handymen/ Contractors due to nature of work carried out.	Claims for compensation and associated costs.	Potential liabilities, including costs, covered by Council's insurance policy – (£10 million)	Maintain adequate insurance cover. (as above) Ensure ongoing training for handymen to reduce potential risks.	Clerk
Loss of cheques, cash etc. held on the Council's behalf.	Medium – Most cash and cheques are paid to the Council during the first quarter as payment of allotment rent. Low – Grants usually paid by bank transfer.	Reduction in Council's financial resources.	Such losses are covered by insurance policy – inc. theft. (Extent of cover depends on circumstances). Prompt payment of receipts into bank. Precept & VAT refund paid direct into bank account.	Maintain adequate insurance cover. Prompt payment of receipts into bank.	Clerk
Financial loss due to banking error (e.g. leading to loss of interest or bank charges levied)	Low – has not occurred certainly since 2004, and not known if ever occurred before then.	Reduction in Council's financial resources.	Regular monitoring & review.	Application of financial regulations, including scrutiny of all bank statements upon receipt. Periodic review of banking arrangements to secure best possible terms and conditions.	Clerk Clerk
Loss of monies due to fraudulent action by employee (s).	Low – any significant incident should be easily detected. Trust in integrity of serving Clerk.	Reduction in Council's financial resources.	All cheques signed by two Councillors, against invoices. All expenditure approved by Council. Accounts subject to scrutiny by Internal Auditor, and overview by External Auditor.	Application of financial regulations.	Council.

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Damage to Council property by 3 rd party.	Low – confined to benches for public use, notice boards, information boards, Christmas Medium - Planters and allotment boundary fences	Repair costs to be covered.	Cost of insurance and excesses applied prohibit the insurance of these items as the excess usually outweighs the repair cost.	Maintain property in good condition with regular monitoring for damage	Council and Clerk
Compensation claim resulting from (alleged) negligent act or accidental omission by the Council or its employee(s).	Low – given the limited activities of the Council.	Potentially substantial cost to the Council.	Risk covered by Council's insurance policy - £250,000.	Maintain adequate insurance cover. Ensure Council decisions are based on full information, including professional advice when necessary.	Clerk Council
Actions against the Council for libel or slander.	Low – Proper conduct of Council meetings and Clerk's professional judgement regarding correspondence and content of annual newsletter And Council website.	Potentially substantial cost to the Council.	Risk covered by the Council's insurance policy - £250,000.	Members' awareness. Proper conduct of meetings by Chairman. Professional advice from Clerk.	Chairman Clerk
Failure to represent community interest adequately in relation to matters likely to impact significantly on the parish.	Low – Parish Council well established as consultee.	Reduction in local facilities and/or quality of life, or missed opportunity to benefit from external funding or advice.	Council recognised by other agencies for consultation and information. Membership of NALC/LALC. Attendance at Area Committee Meetings and other representative groups	Threats & opportunities reported to Council meetings. Special meetings to be called as required. Clerk monitors relative PBC agenda papers & other publications. Representatives provide feedback as appropriate	Council Clerk
Loss of council paper records and computer files due to accident or otherwise	Low - Council records are maintained on both the Council's computer and backed up regularly to an external hard drive	Inconvenience in tracing information particularly legal and historical records	Computer records regularly backed up to External Hard Drive	Ensure computer records are regularly backed up.	Clerk

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Precept is not submitted on time, not paid by Principle Authority or is inadequate for purpose	Low	Reduction in Councils financial resources Inability to deliver services	Budget and Precept considered each year in line with standing orders Full PC minute - RFO to follow up Check receipt Quarterly review against budget	Diarised by RFO Reminder normally sent by Principle Authority	Council and Clerk
Salaries wrongly calculated and paid.	Low	Reduction in Council's financial resources.	Payment is by cheque signed and issued in accordance with Contract of Employment and Financial Regulations and only signed against P11 worksheet	Procedures in place and cheques signed in accordance with Financial regulations Monthly budget out turn for comparison by Council Individual payments minuted at each meeting	Council
False employees.	Low				
Tax and NI deductions incorrect	Low				
Clerk status challenged	Low				
Payment made for goods not received	Low	Reduction in Council's financial resources.	Purchases made from reputable known suppliers and generally only paid after receipt of goods/service	Payment after receipt	Clerk
Councillors Allowances / Expenses overpaid	Low	Reduction in Council's financial resources.	The Chairman has a £100 allowance for attending functions or funding events. Councillors have a £50 pot for the whole Council to pay out of pocket expenses whilst attending and travelling to events on behalf of the Council.	Payment only after detailed claim submitted in respect of expenses. Most events and bookings are organised by the Clerk.	Council and Clerk

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Reserves too low	Low	Reduction in Council's financial resources. Inability to deliver services	Annual Budget approved. Regular review against Budget headings New expenditure only undertaken where reserves allow. Reserves maintained at level commensurate with expenditure commitments and historical experience	Careful budget monitoring and formal approval and costings for new services and /or projects whilst maintaining reserves in line with past practical experience	Council and Clerk
Loss of key personnel	Low	Inability to operate and deliver services	Ensure Clerk has adequate training, support and hours to undertake role so as to avoid stress, leading to long term sickness or early departure. Ensure regular back up of computer based work is maintained and sufficient notice periods are provided within contract to allow replacement to be obtained if necessary Ensure Handymen has adequate training, support and hours to undertake role so as to avoid stress, leading to long term sickness or early departure.	Maintain regular contact and approve training and support mechanisms as appropriate Review contract terms if appropriate and back up computer files on regular basis Review contract terms if appropriate and produce diary & manual of duties.	Council Council and Clerk. Clerk
Loss of works Equipment	Medium	Inability to carry out and deliver work programmes and routine maintenance.	Ensure essential equipment is covered by all risk insurance to cover against loss.	Maintain adequate insurance cover add new essential equipment to all risk cover as soon as practicable.	Clerk