

**CLIFTON UPON DUNSMORE
PARISH COUNCIL
RISK ASSESSMENT AND MANAGEMENT**

2018.19

Area	Risk Identified	Impact	Likelihood	RISK	Risk Management	Further Action required	Mitigated Impact	Mitigated Likelihood	RESIDUAL RISK
Assets	Protection of Equipment and other assets	4	4	16	<ul style="list-style-type: none"> Equipment Insured Fixed asset register revised Insure values revised 	<ul style="list-style-type: none"> To be revised and updated annually Procure map and maintenance plan of trees 	4	3	12
	Inspection and maintenance of assets	4	3	12	<ul style="list-style-type: none"> Annual inspection and review of assets Repair as and when needed 		3	3	9
Finance	Adequacy of financial controls in general	5	3	15	<ul style="list-style-type: none"> Financial Regulations adopted by Council annually Annual Budget/ precept set by Council Income and expenditure reported at meetings Annual internal & External audits 	<ul style="list-style-type: none"> Annual review of Financial regulations Develop policy for grants/precepts 	3	3	9
	Comply with VAT regulations	3	3	9	<ul style="list-style-type: none"> Proper record of VAT in cash book Quarterly reclaim of VAT Auditors double-check VAT figures 	<ul style="list-style-type: none"> Use helpline when necessary 	2	2	4
	Sound budgeting to underline annual precept	3	3	9	<ul style="list-style-type: none"> Clerk to prepare detailed budget for November meeting Precept meeting held December 	<ul style="list-style-type: none"> Create five year plan to capture asset works/village needs 	3	2	6
	Complying with borrowing restrictions	3	3	9	<ul style="list-style-type: none"> No borrowing likely at present 		2	2	4
	Authorisation of electronic payments	4	2	8	<ul style="list-style-type: none"> Prior approval of electronic payments made by 2 Members in accordance with the bank mandate List of payments made reported to Council at each meeting 	<ul style="list-style-type: none"> Formal delegation to make payments of up to £1,000 to the Clerk via Financial Regulations 	2	2	4

Public Liability	Risk to third party individuals or property	4	3	12	<ul style="list-style-type: none"> Insurance cover for £10,000,000 	<ul style="list-style-type: none"> Continue with general assessments 	3	2	6
	Playing field Playing field footpath Allotment fields Open spaces	4	4	8	<ul style="list-style-type: none"> Inspected weekly and maintained regularly Annual ROSPA playground Inspection Inspected regularly 	<ul style="list-style-type: none"> Record inspections 	3	3	9
	Organised meetings, public disorder Injury to visitor	3	3	9	<ul style="list-style-type: none"> Standing orders to include policies of: <ul style="list-style-type: none"> a) When public can be excluded b) Procedure for handling meetings c) When public can speak and for how long Exclude undesirables Discuss controversial business at private meetings Inspect equipment used 	<ul style="list-style-type: none"> Review of standing orders annually 	3	2	6
	Maintenance work by volunteers: Injury to volunteer Damage to property	3	3	9	<ul style="list-style-type: none"> Inspect equipment used Conduct risk assessment of activity Ensure volunteer suitability qualified/experienced 		3	2	6
Employer Liability	Comply with Employment Law	4	3	12	<ul style="list-style-type: none"> Insurance cover for risk of injury to employee linked to PC work Member of National and Regional Associations Clerks contract of employment Salary in line with National Agreement Line management in line with employment contract 	<ul style="list-style-type: none"> Annual review of clerk's contract of employment Annual appraisal by Chair and Vice Chair 	3	3	9
	Comply with Inland Revenue requirements	4	3	9	<ul style="list-style-type: none"> Evidence on file of clerks tax code, monthly payments to Inland Revenue, end of year tax return 		3	2	6
	Safety of staff and visitors: Repetitive strain	3	3	12	<ul style="list-style-type: none"> Regular DSE and Health & Safety assessment Provide protective equipment 		2	2	4
	Employing contractors: Damage to people and property	4	3	8	<ul style="list-style-type: none"> Contractor must provide evidence of insurance and qualification 		3	2	6

Legal Liability	Ensuring activities are within legal powers	4	4	9	<ul style="list-style-type: none"> • Clerk clarifies legal position on any new proposal • Legal advice to be sought where necessary • Legal protection insurance in place 		2	2	4
	Proper and timely reporting via the minutes	3	3	9	<ul style="list-style-type: none"> • Council meets once a month and receives/approves minutes in interim • Minutes signed and approved within 2 months of meeting • Minutes available for inspection by appointment with clerk and on the website 		3	2	6
	Proper document control	3	3	9	<ul style="list-style-type: none"> • Key documents e.g. deeds to be stored safely and copies made to be kept by the clerk, backed up on a monthly basis. • Comply with Data Protection Act and GDPR • Documents are stored and access with password protection • Document Retention and Disposal Policy 		3	2	6
	Personal data held	3	3	9	<ul style="list-style-type: none"> • Personal data held is done so with the consent of the subject; and the subject is made aware of their rights under the Data Protection Act and GDPR 		2	3	6
Councillor propriety	Register of interests and gifts and hospitality in place	3	3	9	<ul style="list-style-type: none"> • Code of conduct adopted • Register of interest form completed and signed • Register of pecuniary interest form completed and returned to Rugby Borough Council 	<ul style="list-style-type: none"> • Members to keep register updated at meetings • Members to keep Rugby Borough Council updated 	3	2	6

The Residual Risk is a useful basis for assessing priorities ie. a high expected value suggests that it is worth putting in place more elaborate, and more expensive, risk management procedures in order to minimise the risk.

KEY

	IMPACT	LIKELIHOOD
1	NEGLIGIBLE	IMPROBABLE
2	MINOR	REMOTE
3	MODERATE	OCCASIONAL
4	SUBSTANTIAL	PROBABLE
5	MAJOR	FREQUENT

Adopted by Parish Council [PC 16/612] 14 MAY 2018