

CHIDEOCK PARISH COUNCIL RISK REGISTER & RISK MANAGEMENT POLICY STATEMENT – 2017/8

L = Likelihood S =Severity . Each being designated L=Low M=Medium or H =High

Originally adopted: July 2006.

Reviewed March 2018.

Next review scheduled for March 2019 unless circumstances require earlier review

Topic	Risk Identified	L	S	Management of the Risk	Status
1. Invoices	Incorrect amount on cheque, made payable to wrong party or portion incomplete or blank cheque.	L	M	Two signatures required on cheque, each should check detail and initial counterfoil and invoice. Blank cheque must never be signed. RFO retains cheque book apart from when with auditor	Open
2. Bank Statements	Finance report does not reconcile with bank statements	L	L	RFO prepares budget monitoring document on a regular basis which reconciles with accounts ledger and bank statements. These details are checked by a councillor, reported to the council; and recorded in the minutes.	Open
3. Financial Position	Council is not fully apprised of the financial situation of the council	L	M	Quarterly budget monitoring and cash position presented to council and recorded in minutes	Open
4. Budgets	Council has not allowed sufficient funds to carry out its duties for the remainder of the financial year	L	H	Quarterly budget monitoring indicates budget against actual for period covered by report against forecast against budget for year. Transfer of money from one budget heading to another budget permitted. Such transfer to be done by resolution of council and is recorded in the minutes	Open
5. Precept	Council fails to send precept document to District Council which results in no funds being provided by District Council	L	H	RFO informs Council that an acknowledgement has been received or contacts WDDC	Open
6. Contracts	The Council may not be practicing best value techniques therefore not providing the best service for public funds	L	L	All contracts to be reviewed on a yearly basis using the principles of best value to award contracts	Open
7. Staff Matters	Incorrect expenses claimed or false claims made	L	H	Full documentation to be provided. Chairman or Vice-Chairman to check expenses and verify. Expenses to resolved for payment by council in session and recorded in the minutes	Open
8. Salaries and PAYE/NI	Salary incorrectly or not paid. PAYE/NI not paid within timeframe set by Inland Revenue resulting in possible penalties to the council	L	L	Council to ensure that PAYE and NI (where applicable) is being deducted from salary and that payment is being made to HM Revenue & Customs as laid down, by checking monthly statement of PAYE / NI on the employee's monthly wage notice.	Open

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9. Financial Controls	Council not carrying out best practice in line with changes to Government financial legislation resulting in failure of audit	L	H	RFO to review financial control documents and prepare draft changes to council as and when necessary. Financial controls to be reviewed each year prior to precept being set	Open
10. Urgent Expenditure or late payments of accounts	Urgent item of urgency cannot wait until next council meeting or invoice will result in council being surcharged for late payment or non-delivery of important goods if delayed until next meeting	M	H	The Clerk has delegated authority up to £300 (as per 3.4 in the Financial Regulations adopted in 2010) regarding urgent items. With regards to invoices that would be subject to surcharge or non delivery if payment were delayed, Clerk may seek payment provided he/she verifies invoice is correct. Matter must be reported to council at next meeting	Open
11. Insurance	Council does not have adequate insurance to cover assets and liabilities or asset is not covered by insurance. This could result in financial loss or council being sued without adequate insurance protection	L	H	Clerk to bring to attention of council need to insure new assets. Insurance cover to be reviewed annually prior to renewal date of policy, following review of risks, risk management policy and the asset register.	Insurance review prior to annual renewal
12. Cover for work and all other activities undertaken by volunteers / councillors / employees	Risk of injury by persons undertaking work and all other activities on a voluntary basis (such as footpath / playing field inspection and strimming, playing field maintenance) on behalf of the Parish Council	M	H	Volunteers must be working at the sole request of the Council using tools, materials and equipment provided by the Parish Council. Such work undertaken should be of a less hazardous nature. Stout footwear and goggles should be used as identified under the risk assessment. Volunteers must be between the ages of 15 and 75 and be able to carry out the work expected of them. Clerk to carry out risk assessment exercise and report findings to council. Item to be recorded in minutes. Visibility waistcoats and other Personal Protective Equipment to be provided as identified in risk assessment.	Open
13. Cover for work undertaken by contractors	Council receives a claim for injury or damage to property caused, or alleged to have been caused, by a contractor working on behalf of the parish council	M	H	The council must ensure before employing any contractor that the contractor has in place Public Liability insurance with a limit of indemnity of not less than £5,000,000.	Open

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14. Personal Safety of staff / councillors	Clerk or other council member is attacked or assaulted by member of the public asserting their rights under Data Protection, Government Regulations or Freedom of Information Act	L	H	Visits by appointment only with an other member of the council or other person present	Open
15. Display Screen Equipment Regulations	Clerk receives repetitive strain injury or other injury as a result of poor workstation practice and not observing the Display Screen Regulations	L	H	Clerk to undertake a risk Assessment of his/her workstation and report any problems to council	Open
16. Council unable to meet at Village Hall	All meetings of the council are held at the village hall. Should the hall suffer damage due to fire, storm or vandalism this location may not be available	L	H	The Council to investigate the use of a hall in another parish if village hall not available due to reasons stated.	RC Church has offered use of room if necessary.
17. Declaration of Defined Pecuniary Interests	Failure to disclose defined pecuniary interests may harm individual councillors and / or bring the Council into disrepute.	L	H	Annual review of councillors Registration of Defined Pecuniary Interests in May, with changes made on the official form, which is sent to the WDDC Monitoring Officer and a copy retained by the Clerk.	Open
18. Urgent items are required to be dealt with that require action or a reply before the next scheduled council meeting	The Council meets on a monthly basis, except usually for August and December. There may be occasions when items need to be dealt with before the next scheduled meeting. Failure to meet would result in the council possibly not being able to consult on an item, or, possibly, in extreme cases legal action being taken	M	H	The Planning committee has full delegated authority to make decisions regarding planning matters. The Finance & General Purposes committee has full delegated authority over all matters. If neither committee is due to meet in the required time frame then urgent matters will require an extraordinary meeting to be called to deal with the special item	Open

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19. Emergency repair or urgent invoice or requirement to authorise works	The Council meets on a monthly basis, except usually for August and December. An emergency repair or an authority to undertake urgent works order may be required between meetings	L	H	The Clerk has delegated authority up to £300 (as per 3.4 in the Financial Regulations adopted in 2010) regarding urgent items. Should there be an emergency reason to institute a repair or emergency item above this authority level the Clerk will obtain the permission of the Chairman or, in his/her absence, the Vice-Chairman to obtain the necessary agreement.	Open
20. Complying with changes in legislation	The council fails to keep up to date with changes in legislation or policy resulting in action being taken against it	L	H	The Clerk will endeavour to keep up to date with appropriate changes in legislation and procedures. The council will use the professional services of DAPTC and SLCC to obtain maximum understanding of changes. Councillors and Clerk will attend applicable training events.	Open
21. Playing Field	Risk of injury to users due to damaged playing equipment or items left on site	M	H	Inspections are undertaken on the frequency laid down by ROSPA and recorded. Action is taken where necessary. Annual inspection by ROSPA is acted on as soon as possible. Persons undertaking inspections are adequately trained. See also 24 below	Open
22. Foss Orchard Car Park	Risk of injury to users due to damaged surface, curbs, drains, river bank, etc	M	H	Inspections to be regularly carried out and remedial work done. See also 24 below	Open
23. Bus Shelters	Risk of injury to users due to damaged structure, broken glass etc	M	H	Inspections to be regularly carried out and remedial work done. See also 24 below.	Open
24. Playing Field / Foss Orchard Car Park / Bus Shelters	Council is under insured to deal with litigation for claim from Playing Field / Foss Orchard Car Park / Bus Shelter user	M	H	Council to review Public Liability Insurance on an annual basis to ensure there is adequate protection for a claim.	Open