

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 | Advertise immediately notice is given Maintain continuity via SPCA details of Locum Clerk service. Access all Council records via emergency procedures. | Council Chairman | Annually |
| 1.2 | Loss of RFO | High | High | SPCA assistance to be sought for locum RFO. Chair to temporarily act as RFO | Clerk Chairman | Annually |
| 1.3 | Loss of IT data | Low | High | Backup system on a monthly basis following council meeting Anti-virus to be renewed annually | Clerk | Monthly |
| 1.4 | Loss of Councillor | Low | Low | Guide to casual vacancy filling document obtained from SPCA. | Clerk | Annually |

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| 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. | Chairman Clerk | Annually |
| 1.6 | Loss of Electronic support | High | High | Ensure that insurance is up to date on all equipment. Hard drive used for monthly backup | Council Clerk | Monthly |

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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 | Annually |
| 2.2 | Parish Characteristics, aesthetics, neighbourhood impact degenerated | Medium | High | Consider local environmental impact. Maintain predominant features, quantify requirement, consider future plans. | Councillors Council | Monthly |
| 2.3 | Disagreement with LDC | Medium | Medium | Ensure proper procedures followed. Collect and record evidence, obey time schedules. | Councillors | Annually |
| 2.4 | Enforcement – developers breaching planning application | Medium | Medium | Gather evidence and involve SCC/LDC as appropriate. | Councillors / LDC Councillors | As required |

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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. Contract currently in place and schedule received. | Council | As required |
| 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. | Council | As required |
| 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. | Council | As required |
| 3.4 | Incorrect usage of open areas | Low | Low | Signage to clarify use | Council | As required |
| 3.5 | Benches | Low | Low | Monitor condition of benches. Take action to repair any faults or remove item if faults are found. | Council | 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. | Council | 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. | Council | Annual |
| 3.8 | Bus Shelters | Low | Low | Monitor condition of Bus Shelters. Take action to repair any faults or remove item if faults are found. | Council | 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. | Council | Annual |
| 4.2 | Deterioration of areas | Low | Medium | Encourage discipline on litter, animal excrement. React to walkers feedback. | Council | Annual |
| 4.3 | Unclear route marking | Low | Medium | Work through the leaflets to ensure markers are clear and up to date. | Council | 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. | Council | As required |
| 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. | Council | Annual |

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| 4.6 | Floral tubs | Low | Low | Ensure that the tubs are in good condition and well planted to avoid trailing plants and soil creep. | Council | 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 | Annual |

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| 5.2 | Theft / Fraud | Low | High | <p>Regular scrutiny by Members of financial records. Proper recording in minutes of all approval for spending and powers under which spend is authorised.</p> <p>Regular budget monitoring by Members.</p> <p>Regular bank reconciliations review by Members.</p> <p>Regular review of financial regulations by Members.</p> <p>Review financial limits on Fidelity insurance to cash balances.</p> <p>Review of letter of appointment for Internal Auditor to include areas of risk – VAT, PAYE, cheque signing, adequacy of invoicing, powers and council income.</p> <p>Review of effectiveness of internal Auditors report.</p> <p>Council approval for changes to payroll authority.</p> | Council Internal Auditor | Six Months |
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| 5.3 | Noncompliance with Standing Orders. | Low | Low | <p>Regular scrutiny of Standing Orders by Members.</p> <p>Scrutiny of Standing Orders by Internal Auditor.</p> | Council Internal Auditor | Annual |
| 5.4 | Injury / loss to recipient of Council asset | Low | Low | <p>Public liability insurance indemnity of £5million.</p> <p>Regular scrutiny of insurance by Members.</p> <p>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.</p> | Council Clerk | Annual |

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| 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. | Council Clerk | Annual |
| 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. Reviewed and covered in Standing Orders. | Council Clerk | Annual |
| 5.7 | Loss or unexpected reduction of income | Low | High | All expenditure pre budgeted and sufficiently resourced. | Council Clerk | Annual |
| 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. | Council | Annual |
| 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. | Council | Annual |
| 5.10 | Abuse of expenses | Low | Low | Prior sanction of all expenses. Repayment against receipts only. | Council | Annual |

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| 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. | Council | Annual |
| 5.12 | Problems with contracts | Medium | Medium | Ensure full tender documentation in place to get quotes. Agree price and costs before setting 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. | Council | Annual |

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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. Members all have copy of code of conduct. | Clerk Council | Annual |
| 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. | Council | Annual |
| 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. | Council | Annual |
| 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 | Annual |
| 6.5 | Loss of minutes | Low | Low | Electronic backing up of all minutes to Cloud and/or hard drive | Clerk | Annual |
| 6.6 | Deficient Standing Orders | Low | Low | Standing orders to be reviewed once a year by Full Council. | Council Clerk | Annual |

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| 6.7 | Image of the Council | Low | Low | Put out a Parish News as required 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 | Annual |
| 6.8 | Business of the parish council | Low | Low | Ensure council is quorate at full council. Ensure documentation is published to standard timescales. | Councillors/Clerk | Annual |
| 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. | Chair/Clerk | Annual |

Signed:

Chair: T Johnson

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Approved 10.10.23 Council