

CATCLIFFE PARISH COUNCIL

RISK ASSESSMENT

Aim	Risk	Actions to Minimise Risk	Person(s) Responsible	Risk Level pre Action	Risk Level after Action
COUNCIL PROCEDURES 1. To ensure compliance with the law and the Parish Council's Code of Conduct, Financial Regulations and Standing Orders	1. Ignorance of requirements	Ensure that all councillors are kept aware of legislative requirements, and are provided with copies of the Code of Conduct, Financial Regulations and Standing Orders	Clerk to the Council	4 - Medium	2- Low
	2. Out of date Standing Orders and Financial Regulations	Ensure that Standing Orders and Financial Regulations are reviewed each term.	Clerk to the Council and Councillors	4- Medium	2- Low
	3. Ultra vires action	Ensure that the Clerk has access to relevant publications. Ensure that any uncertainties over powers are referred to relevant professional bodies for advice.	Clerk to the Council and Councillors	3- Low	2- Low
	4. Lack of commitment to procedures and legal requirements	Standing reference to requirements in agendas. Ensure Councillors each have a copy of Standing Orders and Financial Regulations	Clerk to the Council and Councillors (As above)	3- Low	2- Low
	5. Failure to comply with the Race Relations Act 1976 and Section 17 of the Crime and Disorder Act 1998.	Standing reference to this legislation in agendas	Clerk to the Council and Councillors	2- Low	1- Low
	6. Payments made without proper authority	Ensure all payments comply with Standing Orders and Financial Regulations. Ensure all payments receive proper approval and appear on schedules which are included in the minute book	Clerk to the Council/RFO, Councillors & Internal Auditor (As above)	5- Medium	2- Low
	7. VAT procedures not complied with	Ensure that the Clerk is fully-aware of VAT requirements	Clerk to the Council/RFO and Councillors	3- Low	1- Low
	8. Fraud	Ensure an adequate system of internal audit, both within the Council and by employment of an independent internal auditor	Clerk to the Council/RFO, Councillors & Internal Auditor	4 - Medium	1- Low

<p>ACHIEVE OBJECTIVES</p> <p>2. To identify and regularly review the Council's priorities and associated risks</p>	<p>1. Lack of knowledge of how to set objectives and identify risks to their achievement</p> <p>2. Unsatisfactory reporting mechanism to Council</p> <p>3. Inadequate review of risk</p> <p>4. Steps not taken to combat identified risks</p> <p>5. Evaluation of specific risks not properly recorded for future reference</p>	<p>All Councillors to be made aware of the need for objectives and identification of risk. Attend relevant training courses</p> <p>Ensure that progress against objectives and issues are regularly reviewed through inclusion on agendas</p> <p>Ensure that the risk assessment policy document (this document) is reviewed annually</p> <p>As 2.3</p> <p>Ensure that evaluation documentation is attached to the risk assessment policy document</p>	<p>Clerk to the Council and Councillors</p> <p>Clerk to the Council and Councillors</p> <p>Clerk to the Council and Councillors</p> <p>Clerk to the Council and Councillors</p> <p>Clerk to the Council and Councillors</p>	<p>4- Medium</p> <p>4- Medium</p> <p>5- Medium</p> <p>5- Medium</p> <p>5- Medium</p>	<p>2- Low</p> <p>2- Low</p> <p>1- Low</p> <p>2- Low</p> <p>2- Low</p>
<p>COMMUNICATIONS</p> <p>3. To carry influence with other organisations in achieving the requirements of the Parish</p>	<p>1. Lack of effective lines of communication with other organisations</p> <p>2. Lack of effective lines of communication with parishioners</p> <p>3. Lack of preparation on subjects requiring</p> <p>3. Lack of preparation on subject matters.</p> <p>4. Lack of confidence in Councillors</p>	<p>Establish a relationship and dialogue with relevant organisations. Invite relevant organisations to present reports to Annual Parish Meeting</p> <p>Publicise initiatives and matters of importance in Newsletter publication and publish regular reports</p> <p>Publicise Annual Parish Meeting</p> <p>Ensure that all Councillors are aware of the need</p> <p>Ensure Councillors are aware of the importance of research and where to look for information</p> <p>Establish a relationship and dialogue with relevant organisations. Experienced Councillors to assist newcomers to establish contacts</p>	<p>Clerk to the Council and Councillors</p> <p>(As above)</p> <p>Clerk to the Council and Councillors</p> <p>(As above)</p> <p>Clerk to the Council and Councillors</p> <p>Councillors</p> <p>Clerk to the Council and Councillors</p> <p>Councillors</p>	<p>5- Medium</p> <p>5- Medium</p> <p>5- Medium</p> <p>5- Medium</p> <p>5- Medium</p>	<p>2- Low</p> <p>2- Low</p> <p>2- Low</p> <p>2- Low</p> <p>2- Low</p>
<p>INSURANCE</p> <p>4. To ensure that all Councillors are aware of their responsibilities and possible liabilities, and to provide adequate insurance cover for all possible risks</p>	<p>1. Lack of knowledge of possible culpability of Councillors</p>	<p>All Councillors to be made aware of the need to read and understand Standing Orders and Financial Regulations. Attend relevant training courses</p>	<p>Clerk to the Council and Councillors</p> <p>(as above)</p>	<p>5- Medium</p>	<p>2- Low</p>

	2. Inadequate insurance cover	Review risk on a monthly basis	Clerk to the Council, Internal Auditor annually	5- Medium	1- Low
ACCOUNTS					
5. To keep appropriate books of account accurately and up-to-date throughout the financial year	1. Lack of knowledge of accounting requirements	Ensure that the Clerk is properly trained and all Councillors to be made aware of the need to read and understand Standing Orders and Financial Regulations.	Clerk to the Council/RFO and Councillors	4- Medium	2- Low
	2. Lack of commitment to accounting requirements	As at 5.1 Schedules of payments and bank reconciliation statements to be submitted to every ordinary meeting, together with a report on budget monitoring. Internal Audit reports to be reported to Council and acted on. Audit plan to be reviewed annually	Clerk to the Council/RFO, and Councillors Clerk to the Council/RFO, Councillors and Internal Auditor (as above)	4- Medium	1- Low
	3. Bank charges unnecessarily incurred	Bank reconciliation to be carried out monthly. Periodic internal audit by Councillors	Clerk to the Council/RFO and Councillors	3- Low	1- Low
	4. Failure to attract Bank Interest	As at 5.3	Clerk/RFO and Councillors	3- Low	1- Low
	5. Failure to attract best interest rates	Review banking arrangements periodically	Clerk to the Council/RFO and Councillors	3- Low	1- Low
	6. Inadequate control of cash receipts and payments	Avoid cash as far as possible, but, where cash is received, ensure that a receipt is issued and the cash is banked at the earliest opportunity	Clerk to the Council/RFO, Councillors & Internal Auditor	5- Medium	3- Low
	7. Books of account to be kept up-to-date	As at 5.3	Clerk to the Council/RFO, Councillors & Internal Auditor	3- Low	1- Low
	8. Receipts to be banked and payments to be made promptly	As at 5.3	Clerk to the Council/RFO, Councillors & Internal Auditor	3- Low	1- Low
	9. Clerk taken ill or departs suddenly	Contact the SLCC to request a locum Clerk	Chairman	3- Low	2- Low
EXPENDITURE					
6. To ensure that payments made from Council funds, and the use of assets, represent value for money, are adequately managed, and comply generally with the wishes of residents	1. Lack of knowledge of, and failure to meet, the wishes of residents	As at 3.1 and 3.2. Ensure residents are consulted on major financial issues	Clerk to the Council/RFO and Councillors (as above)	4- Medium	2- Low
	2. Value for money not being obtained	Ensure effective budget planning process.	Clerk to the Council/RFO	4- Medium	2- Low

		Ensure Standing Orders and Financial Regulations regarding contracts to be complied with.	and Councillors Clerk to the Council/RFO and Councillors		
	3. Inadequate charges	Effective budget planning process.	Clerk to the Council/RFO and Councillors	4- Medium	2- Low
BUDGETING					
7. To ensure that the annual precept requirements results from an adequate budgetary process, progress against the budget is regularly monitored, and reserves are appropriate.	1. Lack of knowledge of budgetary process	Ensure that the budget is considered at the Finance meeting and that Councillors receive a set of budget working papers	Clerk to the Council/RFO, Councillors & Internal Auditor	5- Medium	2- Low
	2. Lack of commitment to budgetary process	All Councillors to be involved in budgetary process	Clerk to the Council/RFO and Councillors	5- Medium	2- Low
	3. Inadequate internal controls with regard to monitoring expenditure	As at 5.2	Clerk to the Council/RFO and Councillors	5- Medium	1- Low
	4. Inadequate reserves	As at 5.3	Clerk to the Council/RFO and Councillors	5 - Medium	3- Low
INCOME					
8. To explore all possible sources of income and to ensure that expected income is fully received	1. Lack of knowledge of possible sources of income, e.g. grants	Ensure that the Clerk and Councillors attend training courses on grant-availability	Clerk to the Council/RFO and Councillors	4- Medium	3- Low
	2. Lack of commitment to pursuing grant availability	As at 8.1	Clerk to the Council/RFO and Councillors	6- Medium	3- Low
	3. Debts not promptly pursued	Periodic checks by Councillors & Internal Auditor	Councillors & Internal Auditor	3- Low	2- Low
	4. VAT claims not made correctly or promptly	Ensure Clerk is up-to-date with requirements	Councillors & Internal Auditor	4 Medium	1 Low
PAYROLL					
9. To ensure that salaries paid to staff and monies paid to contractors are paid in accordance with Financial Regulations and are adequately monitored	1. Incorrect rate of pay to staff	Ensure correct rates applied when setting budget	Clerk to the Council/RFO, Councillors & Internal Auditor	3 Low	1- Low
	2. Tax and NI deductions incorrect	Ensure Clerk to the Council/RFO is familiar with requirements	(as above)	4 Medium	1- Low
	3. Incorrect payments to contractors	Periodic review of contractual obligations	Clerk to the Council/RFO and Councillors	3 Low	1- Low
ANNUAL RETURN					

<p>10. To ensure that year end accounts are prepared on the correct accounting basis, on time, and supported by an adequate audit trail</p>	<p>1. Lack of knowledge of Accounts and Audit Regulations 2. Inadequate audit trail from records to final accounts</p>	<p>Clerk and Councillors to attend training courses where appropriate. Ensure that the Clerk is properly trained and understands the Accounts and Audit Regulations</p>	<p>Clerk to the Council/RFO and Councillors Clerk to the Council/RFO, Councillors and Internal Auditor</p>	<p>4- Medium 4- Medium</p>	<p>1- Low 1- Low</p>
ASSETS					
<p>11. To identify, value and maintain all the assets of the Council, and ensure that asset and investment registers are complete, accurate and properly maintained</p>	<p>1. Lack of knowledge of assets and investments of Council 2. Assets and investments lost or misappropriated 3. Inaccurate valuation of assets and investments 4. Inadequate reserves</p>	<p>Ensure that records in existence are maintained and kept up-to-date Clerk to monitor any assets Ensure that annual insurance valuations are reviewed Bank reconciliation to be carried out monthly</p>	<p>Clerk to the Council/RFO, Councillors & Internal Auditor Clerk to the Council/RFO and Nominated Councillor Clerk to the Council/RFO, Councillors & Internal Auditor Clerk to the Council/RFO and Councillors</p>	<p>4- Medium 3- Low 4- Medium 4- Medium</p>	<p>2- Low 2- Low 2- Low 2- Low</p>
EQUAL OPPORTUNITES ETC					
<p>12. To comply with legislation regarding disability, racial equality, safeguarding children, etc.</p>	<p>1. Lack of knowledge of legislation and other requirements 2. Lack of public awareness of requirements</p>	<p>Ensure that relevant legislation, requirements, etc. are known. Review responsibilities annually Use Newsletter /publications as and when necessary</p>	<p>Clerk to the Council and Councillors Clerk to the Council and Councillors</p>	<p>4- Medium 6- Medium</p>	<p>2- Low 2- Low</p>
PROPERTY					
<p>13. To ensure that Council-owned property is properly-maintained and in a safe condition</p>	<p>1. Failure to regularly inspect and report matters requiring attention</p>	<p>Handyman to carry out periodic inspections and report to Clerk prior to meetings. Urgent work to be reported immediately to the Clerk to the Council</p>	<p>Clerk to the Council and Handyman</p>	<p>4- Medium</p>	<p>2- Low</p>
<p>14. To ensure that Council-owned play equipment at Highfield View and Poplar Way is properly maintained and in a safe condition</p>	<p>1. Failure to regularly inspect 2. Failure to carry out major annual inspection</p>	<p>The Handyman to carry out weekly inspections and record his findings on a check list. Urgent work to be reported immediately to the Clerk to the Council. Less urgent work to be reported on a weekly basis. RMBC or other qualified Company to carry out annual inspection</p>	<p>Clerk to the Council and Groundsman Clerk to the Council and RMBC/ Other</p>	<p>6- Medium 5- Medium</p>	<p>3- Low 2- Low</p>

15. To ensure that the Sports field & Pavilion is properly maintained and in a safe condition	1. Failure to regularly inspect for routine maintenance purposes	The Handyman to carry out weekly inspections and report urgent work to the Clerk Less urgent work to be reported on a weekly basis Caretaker to report internal problems at the Pavilion	Clerk to the Council and Handyman & Caretaker	6- Medium	3- Low
	2. Failure to comply with the relevant water and electrical safety regulations	Contractual arrangements to be entered into to ensure compliance with requirements. Routine inspection requirements under the water regulations to be carried out by the Handyman	Clerk to the Council and all Councillors. Clerk to the Council and Handyman	6- Medium	3-Low
16. To ensure that the Memorial Hall is properly maintained and in a safe condition as Custodian Trustee	1. Failure to regularly inspect for routine maintenance purposes	The Caretakers to carry out weekly inspections and report urgent work to the Clerk Less urgent work to be reported on a weekly basis Handyman to report external works	Clerk to the Council and Caretaker & Handyman	6- Medium	3- Low
	2. Failure to comply with the relevant water and electrical safety regulations	Contractual arrangements to be entered into to ensure compliance with requirements.	Clerk to the Council and all Councillors.	6- Medium	3-Low
CONTRACTORS					
17. To ensure that any contractors comply with all necessary requirements	1. The contractor has not carried out a site assessment	Ensure that written site risk assessment is provided	Clerk to the Council and Councillors	6- Medium	1- Low
	2. The contractor does not have adequate public liability insurance in place	Ensure that a copy of the insurance certificate with min £5million public liability cover is provided	Clerk to the Council and Councillors	6- Medium	1- Low
	3. The contractor does not have the necessary resources to satisfactorily comply with the contract	Ensure that proper tender documents, including invitation to tender, specification and official tender, are prepared where necessary.	Clerk to the Council and Councillors	4 - Medium	2- Low
	4. Unsatisfactory contractual arrangement	Ensure that the contract includes an exchange of letters, together with the documentation referred to at 17.3 above	Clerk to the Council and Councillors	4- Medium	2- Low
	5. Unsatisfactory monitoring of contract performance	Ensure that sites are inspected.	Clerk to the Council and Councillors	4- Medium	2- Low
STAFF					
18. To ensure that staff are employed according to proper recruitment, conditions of service and health and safety requirements	1. Failure to ensure that staff are recruited in accordance with correct, fair and unbiased procedures	Ensure that vacancies are widely advertised, based on job descriptions and person specifications.	Clerk to the Council and Councillors	4- Medium	2- Low

	<p>2. Failure to ensure that staff are correctly paid and enjoy proper conditions of employment</p> <p>3. Failure to ensure proper health and safety provision</p>	<p>Ensure that staff are paid in accordance with nationally-agreed pay scales and given contracts of employment based on national models. Review contracts of employment periodically</p> <p>Carry out risk assessments of duties performed.</p> <p>Ensure that staff receive training and instruction in relation to special risk situations. Ensure that staff who use plant and equipment are provided with adequate training to competently use such plant and equipment. Ensure that staff are instructed to report accidents using a form to be provided. Ensure that staff working from home are working in safe and appropriate conditions.</p>	<p>Clerk to the Council/RFO, Councillors and Internal Auditor</p> <p>Clerk to the Council/RFO, Internal Auditor</p> <p>Clerk to the Council, Councillors & Internal Auditor Auditor Clerk to the Council and Councillors</p> <p>(all as above)</p>	<p>3- Low</p> <p>5- Medium</p>	<p>1- Low</p> <p>2- Low</p>
--	--	---	--	--------------------------------	-----------------------------

<p>RISK SCALE</p> <p>1-3 Low Risk</p> <p>4-6 Medium Risk</p> <p>7-9 High Risk</p>
--