



RISK MANAGEMENT REGISTER

Adopted by Barrow Parish Council on 18th May 2015 and last reviewed in December 2020

The Parish Council is expected to carry out an annual risk assessment and identify any actions it considers necessary to minimise those risks.

Risks can be defined as any threat or possibility that an action or event will affect the interests of the Parish Council. Risk management is not a process of avoiding risk but an attempt to identify risk and assess its implications in order to make informed decisions. While, some risks can never be fully eliminated, it is important to have a plan in place that provides a structured, systematic and focused approach to managing risk.

The Parish Council is responsible for the management of risk in accordance with this plan. The Clerk is responsible for advising the Parish Council on risk assessment and for conducting his/her duties in a manner which avoids undue risks to the Council.

Most of the Parish Council's identified risk is covered by insurances taken out, i.e. public liability, employer liability, money, fidelity guarantee, property damage, official's indemnity and equipment.

Risk assessment is a continuous process for the Council and this plan is not exhaustive. The Parish Council may wish to consider other risks not identified. The plan will be reviewed annually and it should be read in conjunction with the Parish Council's Financial Regulations.

RISK	PROBABILITY	IMPACT	MITIGATION	CONTROL	RESPONSIBILITIES
Personal injury or damage to member (s) of the public or their property arising from defect (s) in Council property.	Low – Council property comprises fixed installations such as benches/seats/notice boards and some parcels of recreational land.	Claims for compensation and costs to the Council in defending claims where appropriate.	Covered under the Council's Public Liability Insurance Policy – £10 million	Regular inspection and maintenance and prompt repair of any damage. Periodic review of insurance cover and timely renewal.	Council / Clerk Council / Clerk
Compensation claim by employee (or contracted person) in respect of injury sustained in the cause of his/her employment/engagement.	Low – given the nature of the Clerk's duties. Lengthsman & Other Contractors – risk is higher, given the nature of duties	Claims for compensation and associated costs.	Potential liabilities, including costs, covered by Council's insurance policy - £10 million in respect of employees. Lengthsman is required to take out suitable insurance as required by service contract. Other Contractor is required to take out suitable insurance as required by service contract.	Maintain adequate insurance cover in respect of employees. Lengthsman to complete weekly Risk Management Assessment Forms as provided under LCC Risk Assessment and Safe Working Practices documentation. Sample inspection of weekly RMAF's to confirm appropriate completion. Occasional site checks to ensure compliance with risk procedures.	Council / Clerk Scheme Administrator to maintain copies with weekly work sheets. Scheme Administrator Scheme Administrator / Clerk
Loss of cheques, cash etc. held on the Council's behalf.	Low – Receipts are rarely in cash. More usually by cheque, but infrequent.	Reduction in Council's financial resources.	Such losses are covered by insurance policy. Prompt payment of receipts into bank. Precept & VAT refund paid direct into bank account.	Maintain adequate insurance cover. Prompt payment of receipts into bank.	Council / Clerk Clerk
Financial loss due to banking error (e.g. leading to loss of interest or bank charges levied)	Low	Reduction in Council's financial resources.	Regular monitoring & review of Bank statements.	Application of financial regulations, including scrutiny of all bank statements upon receipt. Periodic review of banking arrangements to secure reasonable terms and conditions.	Clerk

RISK	PROBABILITY	IMPACT	MITIGATION	CONTROL	RESPONSIBILITIES
Loss of monies due to fraudulent action by employee(s).	Low – any significant incident should be easily detected.	Reduction in Council's financial resources.	<p>All cheques and invoices signed by two signatories.</p> <p>All expenditure approved by Council.</p> <p>Regular Financial Statements provided to Council.</p> <p>Accounts subject to scrutiny by Internal Auditor, and overview by External Auditor.</p> <p>Insurance cover enacted up to £150,000</p>	<p>Application of financial regulations.</p> <p>Regular review of insurance.</p>	<p>Council</p> <p>Clerk</p> <p>Internal Auditor</p> <p>External Auditor</p> <p>Clerk / Council</p>
Damage to Council property by 3 rd party.	Medium – property is fixed and intended for public use.	Repair / replacement costs to be covered.	Council's insurance policy covers items of playground equipment and street furniture.	<p>Regular inspections of condition and appropriate action where required.</p> <p>Insurance cover in place.</p>	<p>Clerk / Council</p> <p>Clerk</p>
Actions against the Council for libel or slander.	Low – Proper Conduct of Members and Council meetings and Clerk's professional judgement regarding correspondence etc	Potentially substantial cost to the Council.	Risk covered by the Council's insurance policy - £500,000.	<p>Members' awareness.</p> <p>Proper conduct of meetings by Chairman.</p> <p>Professional advice from Clerk.</p>	<p>Members</p> <p>Chairman</p> <p>Clerk</p>
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.	<p>Council recognised by other agencies for consultation and information.</p> <p>Membership of NALC/LALC.</p>	<p>Threats & opportunities reported to Council meetings.</p> <p>Special meetings called as required.</p> <p>Council to be kept informed</p>	<p>Council / Clerk</p> <p>Clerk</p> <p>Clerk</p>

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Loss of council paper records and computer files due to accident or otherwise	Low – Current Records are maintained in Clerk's house and on Clerk's personal computer.	Inconvenience in tracing information particularly legal and historical records	Regular back-up copies kept, as appropriate.	Computer records regularly backed up to CD / External Hard Drive	Clerk
Damage to Christmas tree lights and other equipment stored by Members and Lengthsman.	Low – equipment and lights responsibility of Council whilst in their possession. Mid - Whilst erected over Xmas period due to storm or theft, vandalism, malicious damage, impact or accidental damage	Injury to public as a result of any malfunction or tree falling incident	Council responsible whilst in their possession. Insurance cover for public liability and replacement value.	Inspections regularly whilst erected over Xmas period. Insurance cover in place.	Council / Clerk Council / Clerk
Precept is not submitted on time, not paid by Principle Authority or inadequate for purpose.	Low	Reduction in Council's financial resources. Inability to deliver services	Budget and Precept considered each November in line with Standing Orders Regular review against budget	Diarised by RFO Reminder normally sent by Principle Authority	Council / Clerk
Salaries wrongly calculated and paid. False employees. Tax and NI deductions incorrect Clerk status challenged	Low Low Low Low	Reduction in Council's financial resources.	Payment is by cheque signed and issued in accordance with Contract of Employment and Financial Regulations. Clerk is sole employee.	Procedures in place and cheques signed in accordance with Financial Regulations Regular budget comparison by Council Individual payments minuted at meetings	Council / Clerk
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
Reserves too low	Low	Reduction in Council's financial resources. Inability to deliver services	Annual Budget approved and regular review 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 / Clerk

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Loss of key personnel	Low	Inability to operate and deliver services	<p>Ensure Clerk as sole employee has adequate training, support and hours to undertake role so as to avoid stress, leading to sickness or early departure.</p> <p>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</p> <p>Continue membership of NALC for advice if needed</p>	<p>Maintain regular contact and approve training and support mechanisms as appropriate</p> <p>Regular back up of computer files</p>	<p>Council</p> <p>Council / Clerk.</p>
Failure to comply with procedures for awarding contracts of goods and services	Low	<p>Reduction in Council's financial resources.</p> <p>Inability to deliver services</p>	<p>Ensure adherence of Standing Orders and Financial Regulations for awarding of contracts</p> <p>Ensure contractors can demonstrate appropriate risk assessment and insurances</p>	Procedures in place and cheques signed in accordance with Financial Regulations	Council / Clerk