

## HELSEBY PARISH COUNCIL

### RISK ASSESSMENT

Reviewed by the Finance Committee – 27 June 05, 26 March 07, 31 March 08, 30 March 09, 29 March 10, 28 Jun 10, 28 March 11, 26 Mar 12,  
25<sup>th</sup> March 13, 31<sup>st</sup> March 2014

Reviewed and revised by the Finance Committee 30<sup>th</sup> March and accepted by the Parish Council at the meeting held on 13<sup>th</sup> April 2015

IDENTIFIED RISK	POTENTIAL CONSEQUENCE OF RISK	ASSESSMENT OF IMPACT (H/M/L)	LIKELIHOOD OF RISK OCCURRING (H/M/L)	CONTROLS TO MANAGE RISK
Loss or damage of assets owned by the Council	Assets unable to be used, expense of replacing assets.	H	M	Insurance of assets.  An up to date register of fixed assets.
Loss of cash through theft or dishonesty.	The Council would be unable to provide its services.  Damage to reputation of the Council	H	L	Internal controls including prevention and detection of fraud and corruption.  Fidelity Guarantee Insurance.  Three signatures required on cheques and direct debit authorities.  Budgetary Controls.  Regular reconciliations of the bank statements to the financial records independently reviewed – Monthly

Legal liability arising from asset ownership and providing services to the public.	Risk of litigation should an individual or third party property becomes injured or damaged.	H	M	Public Liability Insurance. Regular maintenance of physical assets where applicable.  Operator training ongoing.
Risk of a complaint from an elector if a contract is not fairly awarded.	Investigation by external auditor leading to increased audit fees, public interest report etc.  Damage to the reputation of the Council.  Poor value for money.	H	L	Standing Orders and financial regulations in place dealing with the award of contracts.  Complaints procedure in place.
Poor management of funds.	Bank charges  Loss of interest	M	L	Budgetary Control.  Regular bank reconciliations.  Quarterly meetings of the Finance Committee to oversee Council's financial situation.
Requirements for VAT not being met.	Entitlement to reclaim of VAT being lost.	M	L	Annual returns of VAT.
Requirements under employment law and Inland Revenue regulations not being met.	Liability for unpaid tax.  IR Fines.  Risk of litigation from an employee.	H	M	Regular returns to the Inland Revenue. All employees have a written statement of employment – annually reviewed.
Risks of precept being inadequate.	The Council would not be able to meet its objectives due to lack of funds.  Council could in, an extreme case, run out of	H	L	Budgetary Control.  The Council sets a budget in support of its precept

	funds completely.			and monitors this budget throughout the year.
Expenditure being incurred which is not within the legal powers available to Local Councils.	Ultra vires expenditure – illegal transaction. Local elector challenge.  District Audit investigation / public interest report.	H	L	Recording in the minutes the powers under which expenditure is approved.
Poor management/illegal use of Council owned land by leaseholders and tenants.	Abuse of Council owned land.  Damage to the reputation to the Council.	H	L	Robust Lease and Tenant Agreements in place.  Lease Agreements to be reviewed annually.
Loss of land owned by Council.	Land unable to be used.  Legal expenses.	M	L	Title Deeds held in Nat West Bank safe.  All land is registered with HM Land Registry.
Litigation by Council Employees due to injury in the workplace.	Employee's welfare at stake.  Expensive legal fees.	H	L	Robust Health & Safety risk assessments in place and signed by the employees.  Personal Protective Equipment is provided to all council employees and replaced when necessary.  Council employees have attended a 1 day Health & Safety course and half day course on Emergency First Aid. To be reviewed every three years.

				Council Health & Safety Policy in place.
Poor management of Cemetery.	<p>Undue distress to bereft family members.</p> <p>Loss of amenity.</p> <p>Damage to the reputation of the Council.</p>	H	L	<p>Robust internal controls including:</p> <p>Records of internment, Cemetery plan cross referenced with Burial Book and up to date records kept of internments and receipts.</p>
Poor management of Community Centre.	<p>Illegal use of building.</p> <p>Loss of amenity.</p> <p>Loss of Entertainment/Theatre License.</p> <p>Damage to the reputation of the Council.</p>	H	L	<p>Strict internal controls to manage employees, funds, safety of building and equipment.</p> <p>Regular inspections by qualified staff for fire &amp; safety, gas and electrical equipment.</p> <p>Strict conditions of use for all Hall Hirers to read and sign.</p>

<p>Poor management of Children's Play Area.</p>	<p>Children's welfare at stake.</p> <p>Loss of amenity.</p> <p>Risk of litigation due to personal injury.</p>	<p>H</p>	<p>L</p>	<p>Monthly independent inspections of playground equipment and soft safety surface carried out by Winsford Town Council employees.</p> <p>Public liability insurance.</p> <p>Weekly inspection undertaken by trained employees and logged.</p> <p>Equipment &amp; safety surface insurance.</p>
<p>Misuse of Parish Field by persons, other than the Parish Council, wishing to organise an event.</p>	<p>Risk of litigation should an individual or third party property become injured or damaged.</p> <p>Distress caused to adjacent property owners.</p>	<p>H</p>	<p>L</p>	<p>Users must raise insurance cover to indemnify the Council against any damage of injury occurring during or after the event.</p> <p>Other conditions will apply depending on the purpose the field will be used for.</p>

Risk associated with partnerships and contracts	Loss of service due to partner being declared bankrupt and Council no longer receiving service after paying in advance e.g.			
	Damage to the reputation of the Council			
	Police Community Support Officer	M	L	Robust “Service Level Agreements” in place. Regular monitoring of service through regular updates.
	Bin emptying service	M	M	Dealing with reputable public enterprise. Very small % of Precept.
	Council not achieving “Value for Money”.			All other partnership work paid on completion of works / service.
	Risk of misunderstandings	H	L	Written contracts over £5,000 and detailed tender analysis

Loss or damage due to disaster	Destruction of files and office equipment	H	L	<p>Electronic files updated twice weekly and stored offsite in the Clerk's home.</p> <p>Office equipment insured for replacement value.</p> <p>Reciprocal arrangement with Frodsham Town Council to share office space and equipment</p>
	Difficult to replace files.	H	L	<p>Preserve historic files by placing in fire-proof cabinets</p> <p>.</p> <p>Scanning files to store electronically</p>
	Fire/flood damage preventing occupation of business premises.	H	L	<p>Purchase another PC and work from home or other office space nearby</p>
	Internet access and phone line down	H	L	<p>Get phone number diverted for internet access</p> <p>Connect to WI FI for email retrieval.</p>