

1) FINANCIAL

Description	Impact	Likelihood
Fraud by councillors/ clerk	Could take several forms.	1
Loss of cash due to failure of deposit bank		1
Accounting system failure	Failure of system to properly record inputs. Failure of software supplier and thus end of support	1
Loss of council laptop and/or the data thereon	May be difficult to replicate the accounting information	1
VAT and HMRC requirements are not met.	Penalties for failure to follow PAYE requirements VAT reclaim not applied for.	1

2) LEGAL CLAIMS

Personal injury claims from injury on council property	Includes injury on playgrounds, Corston pond	2
Contractors working on council property		2
Breaches of personal data privacy	Would include unauthorised	1

		disclosure of data to a third party causing damage to an individual	
	Clerk is injured working at home	Might give rise to a claim.	1
	Damage to third party property or individuals	Claim against the council	1
3) REPUTATIONAL DAMAGE			
	The council fails to fulfil its statutory duties		1
	The council fails to meet accounting and governance standards	An adverse note by the External Auditor	2
	An individual councillor claims to speak on behalf of the council and makes statements which are not in accordance with council policies and resolutions	This can lead to wrong impressions being gained by the public which will require correcting	2
	Failure to maintain Register of Members Interests	A member may influence a decision on a matter on which he/she has an interest	1
4) DAMAGE TO COUNCIL PROPERTY			
	Play equipment, notice boards and benches may be damaged in accidents or by vandals	Loss of community amenity.	3
5) FAILURE TO ADHERE TO			

EMPLOYMENT LAW
AND PROCEDURES
FOR PAY, STAFF
CONDITIONS ETC.

Possible prosecution for
failure

1

6) PANDEMICS

Council's functioning
impaired due to a
pandemic

1

Council's playgrounds
closed

1

7) PARISH CLERK
RESIGNS

Period before a new one
can be recruited

2

8) CONTRACTUAL
DISPUTES

Council has a dispute
with a contractor about
the proper fulfillment
of a contract for a project

2

RISK ASSESSMENT

REPORT: #05.2

KEY: Low likelihood/impact
High likelihood/impact
Risk rating: likelihoodX
e.g

Impact Score	Risk Rating	Mitigation
	3	3 Fidelity guarantee Requirement for two cheque signatories Regular bank reconciliation New procedures adopted for electronic banking. Financial policy and procedures reviewed regularly.
	3	3 We deposit with core financial institutions only. Covered by FSCS.
	3	3 Supplier has hundreds of local authority customers. A failure of the supplier would be quickly covered by another seeking valuable business.
	2	2 Council laptop to be backed up onto memory stick and to one of the councillor's computers.
	3	3 Outside accountant provides the PAYE figure which is payable. VAT not payable. Reclaim regular procedure.
	3	6 Public liability insurance. Warning notices. Regular inspection of equipment by councillor and annually by ROSPA
	3	6 Check on each occasion that contractors have insurance.
	3	3 The council has adopted a privacy policy which

should preclude such errors.

- 2 2 Council's insurance policy covers this risk
- 3 3 Covered by insurance
- 3 3 There are not many statutory duties and they are well known
- 2 4 Careful adherence to guidance issued by NALC and to the Transparency Code
- 2 4 All councillors to be aware that code of conduct requires them to adhere to council policies and not to make incorrect statements of council policy.
- 3 3 Reviewed annually
- 3 9 Damage is covered by insurance

impact
3X3

1
3
9