

| Impact | Likelihood | Area | Risk Description | Manage | Measures Taken | Controls / Recommendations |
|--------|------------|------------|--|------------------|--|---|
| High | Low | Operations | No Councillors - The Council cannot carry out its functions. | Outside Organ'ns | The Power to act to ensure a quorate council rests with the District Council. | Clerk would need to discuss with Kerrier District Council's Election Officer (Mr Nigel Richards). |
| Low | Low | Operations | Any Council or Committee Meeting is inquorate - That meeting cannot take place. | Self Manage | Standing Orders specify the number of councillors for a quorum. The Clerk should make arrangements for a new meeting. | |
| High | Low | Operations | The Clerk is unable to carry out his/her duties in the long-term - The proper officer of the Council is unable to carry out Council business. | Self Manage | (a) The Council adheres to the current legislation laid down in N.J.C. for Local Government Services Pay & Conditions. (b) The Council would make arrangements for either a temporary or permanent replacement, as appropriate. | |
| Low | Low | Operations | The Clerk is unable to carry out his/her duties in the short-term - The proper officer of the Council is unable to carry out Council business. | Self Manage | In the absence of the Clerk, the Council may delegate powers to a member/s of the Council. | |

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| Medium | Low | Operations | The Council fails to act in a lawful manner. | Self Manage | (a) The Council is aware of the importance of complying with all relevant legislation that affects its conduct and the provision of services. It takes all reasonable steps to ensure compliance with all such legislation, at all times. | |
| | | | | | (b) The Council employs a Clerk, and provides adequate training, as required, for both Clerk and members. It subscribes to the County Association and SLCC, as well as purchasing up to date publications as a matter of course. | |
| | | | | | (c) The Council has a clear set of Standing Orders, which are regularly reviewed and amended, to take into account current legislation. | |
| High | Low | Operations | Claims against the Council - Financial risk. | Insurance | (a) The Council has all the appropriate insurances. | Clerk to ensure that these are reviewed on an annual basis. |
| | | | | | (b) The Council is aware of its liability under Libel and Slander law. A reminder of this is included in the "Councillor Pack & Standing Orders". | Issued to all new councillors, May 2007 |

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| Medium | Medium | Operations | Loss of Parish Council Records. | Self Manage | Computer backup procedures (daily copy of all data) are in place. | |
| | | | | | The data backup is regularly reloaded onto a separate computer in a different physical location (the Clerk's home). | |
| | | | | | Historic records are stored at the County Archive. | |
| Low | Low | Operations | Council records cannot be accessed 24/7 (limited by Berry & Co's opening hours). | Self Manage | Backup of computer data is regularly reloaded onto a separate computer in a different physical location (the Clerk's home). | |
| Low | Low | Operations | A contractor fails to deliver services - The Council fails to carry out a function, or meet its contractual requirements. | Self Manage | All contractors are paid in arrears, so there is no financial loss. The Council could see an alternative contractor, by public tender if required to by Standing Orders. | |

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| High | Low | Legal | Changes to Legislation & Procedures | Outside Organ'ns | Training provided for Clerk and Councillors. | 2008/09 Budget of £300. Awaiting CALC training schedule. |
| High | Medium | Legal | Accounting records must be maintained, in accordance with statutory requirements. | Self Manage | Regular scrutiny of financial records, and approval of impending expenditure. | Financial Regulations reviewed by Office & Finance, in May/June. |
| | | | | | Records kept in accordance with Accounts & Audit Regulations. | Annual Internal & External audits ensure that this is policed each year. |
| High | Medium | Legal | Ensure all the requirements of employment law, Inland Revenue & VAT regulations are complied with, and that Clerk's salary is in accordance with adopted scales. | Self Manage | Quarterly returns on PAYE and NI, and quarterly VAT reclaims, to be submitted. | Clerk has checked the position of contractors under PAYE legislation. |
| | | | | | Clerk's salary to be reviewed annually, in line with NALC/SLCC guidelines. | Benchmarking exercise carried out, and salary reviewed. |
| Low | Low | Legal | Must ensure proper, timely and accurate reporting of Council business in Minutes. | Self Manage | Draft minutes circulated well before the subsequent meeting. | Checked for accuracy at subsequent meeting, then signed by Chairman. |
| | | | | | Minutes properly numbered, with master copy for safekeeping. | Past 10 years unbound, but costly. Arranging storage at the bank. |
| Medium | Low | Legal | Meeting timetables and consultation timescales must be as laid down by law. | Self Manage | Clerk to place agendas on Notice Board the correct number of days in advance. | |
| | | | | | Mid-month Planning Committee meeting to be convened for Planning Applications where observations cannot wait for full Council meeting. | 1st Thursday of month, if required (2 weeks before full Council meetings). |
| | | | | | All meeting actions are minuted, and planning observations sent by Fax and Recorded Delivery. | |

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| High | Medium | Legal | Procedures required for the recording and monitoring of members' interests, gifts and hospitality received. | Self Manage | Code of Conduct signed, and Register of Interest completed, by each Councillor. | |
| | | | | | Disclosure of Interests appears as an agenda item for all meetings, as a prompt for members. | ONGOING - NOTE THAT THIS IS THE RESPONSIBILITY OF INDIVIDUAL COUNCILLORS ! |
| Medium | Low | Legal | Breach of Confidentiality. | Self Manage | The Parish Council is registered under the Data Protection Act. | |
| | | | | | Procedures for dealing with confidential agenda items, e.g. tender bids. | Such items to be discussed with public and press excluded. |
| High | Medium | Legal | Protection against unfair dismissal claims. | Self Manage | Grievance & Appeals procedures in place | |
| Medium | Low | Legal | Use of Contractors to provide some services of the Council. | Outside Organ'ns | Contracts for services awarded in line with Standing Orders & Financial Regulations. | Contract award approved by Council. |
| | | | | | Contractors requested that they handle their own Insurance, and PAYE & NI. | Clerk has checked the insurance of all contractors - Copy in the office. |
| | | | | | Contractors requested that they handle their own Health & Safety. | Contracts now state that contractors must adhere to Health & Safety regulations. |
| Low | Low | Legal | Risk Assessment should be carried out by all contractors, and office accomodation providers (Berry & Co). | Outside Organ'ns | These organisations should be asked for a copy of their own Risk Assessment procedures. | Clerk has asked for a copy of their Risk assessment procedures - REQUESTED, BUT NONE SUPPLIED. |

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| Low | Low | Legal | Failure to respond to electors wishing to exercise rights of inspection of Minutes. | Self Manage | Copy of draft minutes posted on Website. | |
| | | | | | Master copy of minutes available for inspection in Council office. | |
| Low | Low | Legal | Failure to respond to electors wishing to exercise rights of inspection of other documents. | Self Manage | Council's Publication Scheme informs electors what information is available and when. | |
| | | | | | End of Year Accounts advertised as available for inspection, as required under the Accounts & Audit Regulations. | |

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| High | Low | Finance | Must ensure adequacy of annual Precept. | Self Manage | Budget & Precept approval by full Council, and monthly budget monitoring statements. | Regular budget monitoring report to Office & Finance Committee. |
| Medium | Low | Finance | Must ensure compliance with Section 137 expenditure. | Self Manage | Identify separately all S137 expenditure items, and report separately in Annual Accounts. | Annual Internal & External Audits. |
| High | Low | Finance | Must ensure accuracy of bank account records. | Self Manage | All payments made in line with Financial Regulations. | Annual Internal & External audits ensure that this is complied with. |
| | | | | | Internal Financial Controls to be reviewed at least annually. | Internal audit recommendations must be complied with. |
| | | | | | Monthly reconciliation of records with Bank Statement. | Monthly monitoring reports to Council meeting. |
| High | Low | Finance | Potential insolvency of Insurance Company. | Insurance | Use one of the largest companies providing specialist insurance for Councils. | In the unlikely event, advice available from NALC. |
| High | Low | Finance | Must ensure emergency repairs to assets can be carried without waiting for full Council meeting. | Self Manage | Contingency Fund required ! | Clerk to has delegated spending powers up to a ceiling of £300, with agreement of Chairman or Vice-Chairman. |
| Low | Low | Finance | Loss of money through theft. | Self Manage | Limit Petty Cash to £30, and stored securely. | |
| Low | Low | Finance | Loss of money through dishonesty. | Self Manage | Internal financial controls in place, to prevent fraud and corruption. | Internal audit recommendations must be complied with. |
| | | | | Insurance | Fidelity Guarantee Insurance in place. | |

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| Low | Medium | Staff | Clerk should not work alone, in the Council office, for Health & Safety reasons. | Self Manage | Office is located within Berry & Co, and there is always a member of staff present. | |
| Low | Low | Staff | Council Office must not be considered a Fire, or other, risk. | Self Manage | Office is located within Berry & Co. First aid Box in Berry & Co, Accident Book in council office. | Berry & Co has smoke detectors and fire extinguishers in place. |
| Low | Low | Staff | Personal accident, or assault, to Members or Clerk. | Self Manage | Members and Clerk advised not to work alone on Council business. | |
| | | | | Insurance | Personal accident (including assault) and Employers' Liability insurance in place. | |

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| High | High | Assets | Damage, caused by Council assets, to Third Parties or their property. | Insurance | Public Liability Insurance in place. | Public Toilets & Bus Shelter added to insurance policy. |
| High | Low | Assets | Legal liability as a consequence of asset ownership. | Insurance | Public Liability Insurance in place. | |
| | | | | | There is a need for some sort of formal procedure for reporting and Managing such problems | Hazardous substances (= cleaning materials) all locked away. |
| | | | | | SEPARATE RISK ASSESSMENT REQUIRED ON PUBLIC TOILETS. | <i>Clerk awaiting response from Kerrier DC, who should have already has one in place.</i> |
| High | High | Assets | Risk to Third Party as a consequence of providing a service. | Self Manage | Ongoing Maintenance required to ... Seats / Toilets / Bus Shelter. | Clerk to logging any reports received, and actions taken. |
| | | | | | Regular reports back from cleaning contractor to Clerk. | |
| High | Medium | Assets | Protection of Council's Assets, including Office Equipment. | Insurance | Property Damage / All Risks insurance in place. | Clerk to check annually that insured values are correct. |
| | | | | | Property recorded in Asset Register. | Must check it is up to date (at Year-End). |
| High | Low | Assets | Physical security of Council Office. | Outside Organ'ns | Located within Berry & Co, door locked using Berry & Co key, then desk & filing cabinet locked using Clerk's keys. | |

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| High | Medium | Assets | Potential for accident with Playground Equipment. | Self Manage | JPF is tasked with its maintenance. | All insured by JPF Trust, including recent equipment. |
| | | | | Insurance | Play equipment specifically listed on Insurance Policy. | |
| High | Medium | Assets | Potential for theft of Council equipment from the Council Office. | Self Manage | Located within Berry & Co, door locked using Berry & Co key, then desk & filing cabinet locked using Clerk's keys. | Berry & Co does not have a burglar alarm, but has never had a break-in. |
| High | Medium | Assets | Protection against failure of computer system. | Self Manage | Virus Protection in place. | Hardware service contract had been considered, but not cost-effective versus replacement cost. |
| Low | Low | Assets | Need to carry out annual Portable Appliance testing | Self Manage | This should be carried out. | Carried out by MS Electrical, August 2007. |
| Low | Low | Assets | Regular review of need to retain documents and other records. | Self Manage | As per recommendations on record retention published by Cornwall Association of Local Councils. | |