

## LANGTON MATRAVERS PARISH COUNCIL RISK REGISTER & RISK MANAGEMENT POLICY STATEMENT – 2017

L = Likelihood S =Severity . Each being designated L=Low M=Medium or H =High

**Originally adopted: April 2013. Reviewed and approved 14<sup>th</sup> May 2015 without change. Reviewed and changed (Cl. 9) 12<sup>th</sup> May 2016. Changed 13.10.2016 (Cl.23). Reviewed and approved 11<sup>th</sup> May 2017 without change.**

Topic	Risk Identified	L	S	Management of the Risk
1. Invoices	Incorrect amount on cheque, made payable to wrong party or portion incomplete or blank cheque.	L	M	Two signatures required on cheque, each signatory should check detail and initial counterfoil and invoice. Blank cheque must never be signed. RFO retains cheque book apart from when with auditor.
2. Bank Statements	Finance report does not reconcile with bank statements	L	L	RFO prepares budget document which reconciles with accounts ledger and bank statements. These details are checked by a councillor, reported to the council; and recorded in the minutes.
3. Financial Position	Council is not fully apprised of the financial situation of the council	L	M	Budget monitoring and cash position presented to council at least twice a year, and recorded in minutes.
4. Budgets	Council has not allowed sufficient funds to carry out its duties for the remainder of the financial year	L	H	Long term Capital Funding List in place. Budget monitoring indicates budget against actual for period covered by report. Transfer of money from one budget heading to another budget permitted. Such transfer to be done by resolution of council and recorded in the minutes
5. Precept	Council fails to send precept document to District Council which results in no funds being provided by District Council	L	H	RFO informs Council that an acknowledgement has been received in January/February.
6. Contracts	The Council may not be practicing best value techniques therefore not providing the best service for public funds	L	L	All contracts to be reviewed on a yearly basis at Council meetings using the principles of best value to award contracts
7. Staff Matters	Incorrect expenses claimed or false claims made	L	H	Full documentation to be provided. Chairman or Vice-Chairman to check expenses and verify. Expenses to be resolved for payment by council in session and recorded in the minutes
8. Salaries and PAYE/NI	Salary incorrectly or not paid. PAYE/NI not paid within timeframe set by Inland Revenue resulting in possible penalties to the council	L	L	Council to ensure that PAYE and NI (where applicable) is being deducted from salary and that payment is being made to HM Revenue & Customs as laid down, by checking monthly statement of PAYE / NI on the employee's monthly wage notice: responsibility of cheque signatories. See also 1 above.

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9. Training	Clerk (RFO) and Cllrs have insufficient awareness of process and procedures (eg Finance, Planning) to make effective and informed judgements	M	M	Clerks and Cllrs to attend relevant training: appropriate funding to be made available.
10. Financial Controls	Council not carrying out best practice in line with changes to Government financial legislation resulting in failure of audit	L	H	RFO to review financial control documents and prepare draft changes to council as and when necessary. Financial controls to be reviewed by Council each year prior to precept being set, and checked annually by internal auditor.
11. Urgent Expenditure or late payments of accounts	Urgent item cannot wait until next council meeting or invoice will result in council being surcharged for late payment or non-delivery of important goods if delayed	M	H	The Clerk can ask signatories to the account to sign cheques between meetings. Matter must be reported to Council at next meeting.
12. Insurance	Council does not have adequate insurance to cover assets and liabilities or asset is not covered by insurance, resulting in financial loss or council being sued without adequate insurance protection	L	H	Clerk to bring to attention of council need to insure new assets. Insurance cover to be reviewed annually prior to renewal date of policy, following review of risks and the asset register. Inspection records for Play Area kept up to date.
13. Cover for work and all other activities undertaken by volunteers / councillors	Risk of injury by persons undertaking work and all other activities on a voluntary basis (such as footpath / playing field inspection and strimming, playing field maintenance) on behalf of the Parish Council	M	H	Volunteers must be working at the sole request of the Council. Work undertaken should be of a less hazardous nature. Stout footwear and goggles should be used as identified under the risk assessment. Volunteers must be between the ages of 15 and 75 and be able to carry out the work expected of them. Clerk to carry out risk assessment exercise and report findings to council. Item to be recorded in minutes.
14. Cover for work undertaken by contractors	Council receives a claim for injury or damage to property caused, or alleged to have been caused, by a contractor working on behalf of the parish council	M	H	The council must ensure before employing any contractor that the contractor has in place Public Liability insurance with a limit of indemnity of not less than £1,000,000.

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15. Personal Safety of staff / councillors	Clerk or other council member is attacked or assaulted by member of the public.	L	H	'Foghorn' in Parish Office to deter/ use in case of danger. Oversight of office by neighbours.
16. Display Screen Equipment Regulations	Clerk receives repetitive strain injury or other injury as a result of poor workstation practice and not observing the Display Screen Regulations	L	H	Clerk to undertake annual Risk Assessment of his/her workstation and report any problems to council.
17. Council unable to meet at Village Hall	All meetings of the council are held at the village hall. Should the hall suffer damage due to fire, storm or vandalism this location may not be available	L	H	The Council to investigate the use of Scout Hut or hall at Old Malthouse if village hall not available due to reasons stated.
18. Declaration of Interests	Failure to disclose interests may harm individual councillors and / or bring the Council into disrepute.	L	H	Annual review of councillors Registration of Interests in May, with changes made on the official form, which is sent to the PDC Monitoring Officer and a copy retained by the Clerk, within 28 days. Declaration of interest always an agenda item.
19. Urgent items are required to be dealt with that require action or a reply before the next scheduled council meeting	The Council meets on a monthly basis. There may be occasions when items need to be dealt with before the next scheduled meeting. Failure to meet would result in the council possibly not being able to consult on an item, or, possibly, in extreme cases legal action being taken	M	H	The Planning committee has full delegated authority to make decisions regarding planning matters. If the Council is not due to meet in the required time frame then urgent matters will require an extraordinary meeting to be called to deal with the special item
20. Emergency repair or urgent invoice or requirement to authorise works	The Council meets on a monthly basis. An emergency repair, an authority to undertake urgent works order or a cheque may be required between meetings	L	H	Should there be an emergency reason to institute a repair or emergency item the Clerk will obtain the permission of the Chairman or, in his/her absence, the Vice-Chairman to obtain the necessary agreement; in the case of urgent invoices, cheque signatories will then be contacted by the Clerk and may sign the necessary cheque.
21. Complying with changes in legislation	The council fails to keep up to date with changes in legislation or policy resulting in action being taken against it	L	H	The Clerk will endeavour to keep up to date with appropriate changes in legislation and procedures. The council will use the professional services of DAPTC and SLCC to obtain maximum understanding of changes. Councillors and Clerk will attend applicable training events.

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22. Playing Field	Risk of injury to users due to damaged playing equipment or items left on site	M	H	Visual Inspections are undertaken weekly by the Clerk and recorded. Action is taken where necessary. Annual inspection by ROSPA is acted on as soon as possible. Persons undertaking inspections are adequately trained.
23. Council's land S of playing field (Natural Amenity)	Injury to members of public going into Natural Amenity.	M	H	Clear out dangerous items and inspect area regularly, keeping log. Develop change of use/vegetation and do regular management as necessary. N side fencing the responsibility of DCC.
24. Bus Shelters	Risk of injury to users due to damaged structure, broken glass etc	M	H	Inspections to be regularly carried out by Council's cleaner and remedial work done.
25. Playing Field / Bus Shelters/Allotments	Council is under insured to deal with litigation for claim from Playing Field / Bus Shelter user	M	H	Council to review Public Liability Insurance on an annual basis to ensure there is adequate protection for a claim. Council to take ongoing advice provided by insurer.
26. Allotment fencing	Fence falling down / loose wires endanger members of public.	L	H	Regular visual inspection of fence by Cllrs.
27. Allotment Path	Risk of injury to users if paths are not kept clear.	L	M	Allotment holders' tenancy agreements state that paths should be kept free of obstacles and regularly trimmed. Path to communal shed kept trimmed by LMAA. Central path and path to communal shed checked regularly by Cllrs.
28. Allotment gates	Gates not shutting properly, leading to ingress of livestock/deer and damage to plots.	L	M	Regular inspection by Cllrs and allotment holders encouraged to close gates.
29. Allotment water troughs	Children might drown in water troughs; contamination of water in troughs.	M	H	Allotment holders' tenancy agreements state that only children accompanied and supervised by adults are permitted on the allotments; all children must be supervised at all times. The agreement states that the water troughs cannot be used for cleaning of equipment, produce or footwear etc.
30. Allotment Communal shed.	Tenants' and LMAA equipment, including petrol, stolen from shed. Fire at shed. Equipment stored in a dangerous way.	M	M	Shed kept locked at all times when not in use. All tenants have padlock code. Door and lock checked regularly by Cllrs. No smoking sign on shed door. LMAA supervise contents of shed.
31. Dogs on the allotments	Dogs attack members of public or damage plants. Dog faeces contamination (soil and people).	M	H	Notices to dog owners on gates asking that dogs are kept on leads and that dog faeces must be removed from allotment garden. Tenancy agreement states that dogs must be kept on leads at all times and be kept on the main path.
32. Crack Lane Cemetery	Danger of headstones falling on groundsman or members of the public.	L	M	Headstones checked regularly by groundsman and unsafe ones reported to Clerk.

