

CHOLESBURY-CUM-ST LEONARDS PARISH COUNCIL RISK ANALYSIS

	Activity and hazard	Likelihood of hazard: low/ medium/ high	Severity of hazard: low/ medium/ high	Existing measures to control risk	Net risk: low/ medium/ high	Action by	Comments	Last review date/ frequency
	Law and regulations							
1	Legal assistance required for planning appeals or to defend actions against the Council including action by employees such as claims for accidents/injury:	L	H	Ensure adequate reserves (guideline: equivalent to approximately one year's precept) Ensure actions are legal Internal and external audit procedures Ensure insurance policy is adequate	L	Council		Annual
2	Costs associated with prosecution under Freedom of Information Act, GDPR and data protection legislation, Race Relations Act or other statutory instruments:	L	H	Check NALC/SLCC/ICO guidelines and check insurance Ensure compliance with policy Clerk training	L	Council		Annual
3	Action against Council for improper conduct or accounting:	L	H	Refer to Standing Orders and review them regularly to ensure legal compliance Internal and external audits S137 register Financial procedures in place Ongoing Clerk training	L	Clerk/ Council		Ongoing
4	Lapses by Council in matters of legislation etc:	L	L	Council member of NALC / BMKALC Clerk member of SLCC Ensure textbooks are up to date Clerk training as necessary	L	Clerk		Annual
	Governance & management							
5	Clerk's premises not adequately covered against attack, burglary and nuisance:	L	L	Check adequate security in place for unoccupied premises Check adequate buildings and contents insurance held	L	Clerk		Annual
6	Essential records not in good order:	L	H	Ensure GDPR requirements are maintained Adhere to recommended retention periods Ensure all records are on file as required Ensure filing system is adequate Ensure minutes properly signed/filed (all pages properly initialed) Check financial records, insurance certificate, tax records, deeds and legal documents, members' allowance register, register of members' interests, planning register, declarations of acceptance of office, asset register is up-to-date Review all practices in accordance with internal auditor's recommendations	L	Clerk Auditors Chairman		Annual
7	Council unable to operate normally due to national or regional emergency	L	H	Modify operation of Council activities and review regularly Adapt functions to support local residents affected by crisis Develop continuity plan so Council operates legally and safely	M	Council Clerk Bucks C		After event

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8	Loss or damage to computer records:	M	H	All data (including personal information) is backed up in real time to a server cloud called Google Drive and backed up monthly onto a hard drive held securely.	L	Clerk		Ongoing
9	Loss of deeds, legal documents etc.	L	H	Update list annually and confirm safe location of all documents Make annual visual check of all such documents at Annual Meeting as per Standing Orders	L	Clerk Chairman		Annual
	Operational							
10	Cost of damage to noticeboards, the Green at Buckland Common, other property (including the Defibrillator and MVAS equipment) or allotments:	L	H	Check insurance cover Take preventive measures where appropriate and keep all assets in good working condition, whether by maintenance or replacement	L	Clerk Council		Annual
11	Damage, below-standard or unfinished work by contractors:	L	L	Monitor contractors during and at end of jobs before payment Check payment authorisation procedures	L	Clerk Council		Ongoing
12	Accidents or injuries on the Green at Buckland Common or allotments due to negligence:	L	M	Check insurance cover Ensure allotment contracts exclude liability Keep all public areas in good working conditions and undertake an annual inspection of both sites Aim to reduce unnecessary hazards whenever possible and as soon as notified Educate users as to any potential hazards	L	Clerk		Ongoing
	Human Resources							
13	Annual salary review, resignation, sickness, death of Clerk:	L	L	Ensure adequate reserves for SLCC/NALC reviews Ensure adequate reserves for staff replacement, for handover period, for sick pay, for sickness cover Ensure Clerk's contract is up-to-date at least according to minimum SLCC recommendations	L	Clerk Council		Annual
	Finances							
14	Fraud:	L	H	Ensure proper authorisations in place Ensure cheque and electronic banking procedures are robust Check new employee references thoroughly Employ rigorous financial/accounting procedures Follow recommendations of internal and external audits Regular quarterly financial reports to be circulated/minuted	L	Clerk Council		Ongoing
15	Insufficient financial reserves to cover identified risks:	L	L	Identify risks and set precept accordingly	L	Council		Annual
16	Insurance policy excess:	L	L	Ensure adequate reserves to cover excess	L	Clerk		Annual
17	Prosecution by Customs and Excise or Inland Revenue:	L	L	Ensure PAYE and VAT systems are in place and checked by internal auditor Ensure adequate reserves for any likely fines as a result of prosecution	L	Clerk		Ongoing

18	Investments below available interest rates:	L	L	Check banking arrangement against alternatives	L	Clerk Council		Annual
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