

RISK ASSESSMENT - NORTH CURRY PARISH COUNCIL

| RISK | As at May 2020 ISSUE | PROBABILITY | IMPACT | MITIGATION MEASURES |
|-------|--|-------------------|--------------------------|--|
| 1 F | Loss of, or damage to, NCPCC's fixed physical assets. | Low | Medium | Insurance cover. |
| 2 F | Loss of funds through infidelity. | Low | Medium | No cash transactions. Two signatures on cheques or two authorisations on electronic banking transactions. Insurance cover. |
| 3 RF | Injury liability - Church Road Pavement Trees and equipment on Parish Council land Defibrillator | Low Low Low | Medium Medium High | Pavement to be monitored annually and SCC made aware as necessary Safety checks to be carried out annually on trees, monuments, benches, walls and fences and reported back to the Parish Council by Committees and Delegates. Regular (monthly) check of equipment and presence of instructions; any faults to be followed up promptly by repair or removal of equipment for repair |
| 4 R | Inadequate performance by the grass-cutting workman. | Medium | Medium | Regular check on workman's performance. Regular Tender for contract to ensure in place for grass season |
| 5 F | Inadequate handling of NCPCC's bank accounts. | Low | Medium | Monthly bank statements. Monthly reconciliations. Quarterly checks by a Councillor who is not a member of the Finance Panel. RFO's reports to PC meetings. Annual Audit. Financial Regulations. |
| 6 F | Inadequate financial records. | Low | Medium | Receipts and Payments Record. Monthly bank statements. Monthly reconciliations. Cheque stubs retained. Financial Regulations. Approval of Expenditure process. Annual Audit. Issue of receipts for any cash taken into accounts Ensure adequate Petty Cash Vouchers/Records |
| 7 F | Failure to reclaim VAT. | Low | Low | Financial Regulations. Annual Audit. |
| 8 F | Inadequate Precept to support requirements. | Low | Medium | Annual Budget process. RFO's reports to PC meetings. Annual Audit. |
| 9 I | Inaccurate recording of business, especially decisions. | Low | Medium | Minutes Book, with numbered Minutes. Approval of Minutes at next PC meeting. |
| 10 RF | Ineffective Internal Audit. | Low | Medium | Annual Audit + External Auditor |

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| 11 | R | Inadequate response to requests to inspect documents. | Low | Medium | FOI Act Publication Scheme. Filing system. Public Enquiry Response procedure. | |
| 12 | I | Inadequate document control. | Low | Medium | Filing system. Document Control procedure. | |
| 13 | I | Improper conduct by Parish Councillors. | Low | High | Adopted Code of Conduct. Registers of Elected Members Interests. Undertakings signed by Parish Councillors. | |
| 14 | I | Libel or Slander litigation. | Low | High | Adopted Code of Conduct. Undertakings signed by Parish Councillors. Insurance cover. | |
| 15 | I | Incomplete, inaccurate, out-of-date Register of Interests. | Low | Medium | Annual review of ROMI - place on AGM Agenda Declarations of Interest recorded. Minutes Book. | (Register of Members Interests) |
| 16 | I | Loss of Minutes Book. | Low | High | Soft copy files in computer. Two back-up copies made on memory sticks | |
| 17 | F | Loss of Receipts and Payment Record. | Low | High | Invoices retained. Cheque stubs retained. Bank statements retained. | |
| 18 | I | Failure to observe General Data Protection Regulations. | Low | Medium | General Data Protection Regulations Notification. General Data Protection Regulations principles observed as recommended by SALC. | |
| 19 | I | Loss, or corruption, of files in computer. | Low | Medium | Hard copy printouts in Filing System. Up-to-date anti-virus software installed. Full back-up of data files kept on 2 memory sticks. Full back-up of disc image to be kept on a memory stick & retained by PC | |
| 20 | I | Loss of, or damage to, hard copy files. | Low | Medium | Clerk to lock office when vacated cabinets to be locked - Chairman hold spares Soft copy files in computer. One memory stick taken off premises & retained by PC. | |
| 21 | RF | Compliance with Lease Conditions | Low | High | Need to ensure compliance through regular monitoring by clerk of renting organisation minutes Noting any feed back from Parish Council Reps or Community Reps | |

F - Financial R - Reputation I - Internal
PC - Parish Clerk