

Thelbridge Parish Council Risk Assessment and Management

No	ITEM	HAZARD	PERSONS IN DANGER	SEVERITY 1-10	LIKELIHOOD 1-10	RISK RATE	MEASURES /COMMENTS	RESULT
1	Failure to attract sufficient candidates for Member vacancies or elections	Reduced representation Lack of resource Possible meeting inquorate	Members	2	2	4	Actively publicise Council activities Seek candidates amongst friends and colleagues Publicise elections & vacancies on notice boards Publicise elections & vacancies in Parish Newsletter and website publicise elections & vacancies in local newsletters	A
2	Failure to achieve quorum at meetings	Business not transacted Decisions not made	Members Clerk	1	3	3	Issue annual meeting calendar to all members Issue meeting agendas promptly. Record attendance.	T
3	Lack of public consultation by Council	Decisions not based on evidence People disenfranchised	Members	1	2	2	Ensure meetings publicised on notice board Include public participation on all agenda Ensure seating available at meeting for public Provide advice for members of the public attending Publish agendas and minutes on website	T
4	Failure to respond to electors wishing to exercise right of inspection	Complaints received Not transparent Non compliance	Clerk	1	2	2	Clerk to advertise facility, and respond to requests	A
5	Members acting alone outside meetings	Members outside compliance Indemnities invalid Personal risk	Members	2	2	4	Obtain and read 'Good Councillor Guide' Avoid making commitments on behalf of the council; attend relevant training course	A
6	Council decisions not implemented	Confidence undermined Reputation risk arises	Clerk	1	4	4	Clerk to ensure non-implementation to be considered at next meeting	A

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7	Inaccurate, untimely, improper minutes	Poor decisions in future Poor evidence for decisions	Clerk	1	3	3	Clerk to check minutes with Councillors not more than 7 days after meeting Minutes published Unapproved	A
8	Inadequate document control	Poor evidence Poor support to Members	Clerk	1	2	3	Clerk to establish filing and retrieval system Clerk to enforce document version control	A
9	Failure to recognise and address conflict of interest	Lack of transparency Open to complaints of fairness or bias	Members Clerk	1	2	2	Members to review Code of Conduct	A
10	Incomplete/inaccurate register of Members' interests	Lack of transparency Open to complaints of fairness or bias	Members	1	2	2	Members to review Code of Conduct	A
11	Failure to complete/submit Annual Return on time	Poor Auditors report Public confidence suffers	Clerk	1	3	3	Clerk to manage reminders	A
12	Loss of data on PC due to system fault	Interruption to effective administration Possible financial loss	Clerk	1	4	4	Regular backups	A
13	Loss of services of Parish Clerk	Interruption to effective administration	Members Clerk	2	2	2	Locum Panel of experienced Parish and Town Clerks provided by the Society of Local Council Clerks able to assist in an emergency Up to date List available from the Society of Local Council Clerks on the website or by phoning 01823253646	A
14	Lack of professional advice	Poor decisions	Clerk	2	2	4	Maintain membership of DALC, NALC and SLCC	A

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		Costs and waste Possible noncompliance						
15	Financial	Misappropriation of Council Funds Financial loss	Public Services	1	2	2	All Banking Arrangements and changes to banking services approved by the council and recorded in the minutes Pay invoices by cheque/internet banking Two councillors to sign each cheque, invoice and Cheque stub. Internet Banking two Councillors to authorise online. Reconciliation of Parish Accounts to be signed by a non-signatory councillor at each meeting Annual scrutiny of all Financial Records by an internal auditor. All changes in banking instructions, mandates etc. to be in writing with a hard copy kept permanently on file	A
16	Inadequate insurance	Balance of costs to be found	Clerk	1	4	4	Council to review annually or if circumstances change	A
17	Failure to calculate/submit precept on time	Inadequate resources to meet commitments	Clerk	1	3	3	Clerk to respond to Mid Devon District Council notices Agenda item for Members to consider and approve.	A
18	Inadequate annual precept and unsound budget	Inadequate resources to meet commitments	Members	1	4	4	Clerk and Members to build sound budget, using risk register and known commitments. Members to consider Reserves Policy built into Financial Regulations.	A
19		Inadequate control	Members	1	2	2	Clerk to review	A

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	Failure to stay within agreed budgets	Potential wasted resources	Clerk				Internal auditor to check Reserves Policy to mitigate short-term impact of loss.	
20	Fraud by Clerk	Reputation Costs, Litigation	Clerk	1	3	3	Adequate internal audit Regular reporting to members Control systems for managing expenditure	A
21	Fraud by Members	Reputation Costs, Litigation	Clerk	1	3	3	Adequate internal audit Regular reporting to members Control systems for managing expenditure	A
22	HMRC requirements not met	Costs Litigation	Clerk	1	3	3	Clerk to liaise as necessary	A
23	Non-compliance with data protection	Litigation Poor reputation	Members Clerk	1	3	3	Clerk to monitor	A

Results Key – T = TRIVIAL RISK A = ADEQUATELY CONTROLLED RISK N = NOT ADEQUATELY CONTROLLED U = UNABLE TO DECIDE (MORE INFORMATION REQUIRED)

Risk Assessment Scoring Matrix

Likelihood	Severity					
	Multiple Death (10)	Single Death (8)	Major Injury (6)	Lost Time Injury (4)	Minor Injury (2)	Delay (1)
Certain (10)	100	80	60	40	20	10
Very Likely (8)	80	64	48	32	16	8

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Likely (6)	60	48	36	24	12	6
May Happen (4)	40	32	24	16	8	4
Unlikely (2)	20	16	12	8	4	2
Very Unlikely (1)	10	8	6	4	2	1
Score	Priority	Action				
1 – 16	LOW	Action is required to reduce the risk, although low priority.				
17 – 36	MEDIUM	Action required to control. Interim measures may be necessary in the short term.				
37 – 100	HIGH	Action required urgently to control risks. Unacceptable				