

RISK MANAGEMENT SCHEME

1. Introduction

This document sets out the risks identified for Goring-on-Thames Parish Council, including mitigations and scores relating the severity of impact and likelihood of the risk occurring.

2. Risk Identification

Risk Identification	Impact	Mitigation	Likelihood	Impact	Score
Loss or damage of physical council assets	Loss of village amenity	Identify mechanisms by which loss could occur: <ul style="list-style-type: none"> • Fire • Theft • Damage / Vandalism Council Assets are fully insured with bespoke insurance suitable for Parish Councils and all insurances (list) are re-assessed annually on receipt of insurance policy renewal Assets as Per Approved Asset Register. NOTE: Streetlamps and other street furniture are not covered for accidental damage, only public liability issues.	5	2	10
Council sued for either public liability or employer liability issue	Reputational risk Personal liability	Adequately covered by £10M public and £10M employer's liability. Excess is held in reserve.	1	6	6
Loss due to fraud, theft or dishonesty of employee	Legal action Loss of assets Potential insolvency	£500,000 fidelity guarantee. No petty cash Kept Cash receipts policy in place.	1	8	8



Risk Identification	Impact	Mitigation	Likelihood	Impact	Score
Risk of consequential loss of income or the need to provide essential services following critical damage by a third party.	Insufficient funds to meet requirements. Current funding sources: <ul style="list-style-type: none">• Precept• Burial Ground• Renting Property / Sports Teams• Grants• CIL• Bank Interest	Any agency agreements held with Oxfordshire County Council and South Oxfordshire District Council would be dealt with on an annual basis; also performance against contracts with grounds maintenance companies would be regularly checked and contracts re-tendered every three years if active. Banking arrangement are strictly managed. No borrowing or lending applies at this time. Budget signed off annually	2	5	10
Grants to be paid back to grant body	Potential for insolvency	Recognise specific grant procedures when applied for. Ensure all procedures are followed. 50% of precept to be kept in reserve – council currently building up to this reserve level.	2	8	16
Data Protection Breach	Potential legal action	The Parish Council would appoint a Data Protection Officer (GDPR- info Ltd) to handle any breach of personal data. The Clerk is the Data Processing Officer. The Parish Council have published a Privacy Policy, and are compliant with the GDPR legislation of May 2018. Risk of Data Breach is considered low.	2	5	10
Failure of council to meet statutory duties.	Vote of no confidence	Training provided for councillors and clerk. Access to the “Yellow book” Charles Arnold Baker on Local Council Administration, membership of training and advisory bodies. Standing orders to be communicated to all new councillors and reviewed in line with policy. Council minutes and documents audited.	2	3	6



Risk Identification	Impact	Mitigation	Likelihood	Impact	Score
Minutes are recorded incorrectly	Incorrect actions taken.	All decisions recorded within the minutes by the Clerk and approved by councillors by the following meeting who have an opportunity to comment prior to sign off. Minutes and agendas are produced in the prescribed method and adhere to legal requirements	1	2	2
Minutes - Noncompliance with statutory requirements	Not meeting the council's statutory requirements	Minutes are approved and signed at the next meeting unless there is a resolution made to defer approval until the following meeting Minutes and agenda are displayed according to legal requirements. Business conducted at Council meetings should be managed by the Chairman according to Standing Orders	1	4	4
Councillor or Staff bringing the council in to disrepute	Loss of reputation.	Councillors receive and receive training on the Code of Conduct A professional approach is undertaken on all Parish Council matters	1	10	10
Breach of confidentiality	Prosecution under Data Protection Act / GDPR	Review of personal data held carried out periodically. Training where necessary. The council complies with current Freedom of Information legislation and the Data Protection Act by following the guide lines issued	2	7	14
Financial management error	Potential for prosecution for fraud	See Financial Risk Assessment	1	10	10
Fly tipping	Public nuisance and cost of remediation	None. When identified, appropriate organisations notified immediately via FixMyStreet	5	4	20
Breach of duty with respect to disabled individuals	Prosecution under the Disabled Discrimination Act	The council has an Equal Opportunities Policy	1	8	8
Risk of budget overrun	Council becomes insolvent	See Financial Risk Assessment.	1	10	10



Risk Identification	Impact	Mitigation	Likelihood	Impact	Score
Website is hacked / misused	Poor public perception Potential for libel	Website routinely monitored / maintained and backed-up	4	7	28
Damaged to third parties from pot-holes on the access roads owned by the council	Potential legal action	The PC to hold public liability insurance. Inspections to be held annually and status reported to PC. Pot holes to be filled on an adhoc basis	8	3	24
Injury from slips and falls on PC owned land	Potential legal action	Keep grit bins filled during cold weather. Reminder to be published annually asking residents to spread salt when needed. Annual monitoring in September.	6	4	24
Injury / damage from falling trees / limbs	Potential legal action	Survey and take action as recommended. Survey to be carried out every 5 years.	4	8	32
Flooding / damage from flooding and associated health hazard caused by blocked drains	Potential legal action Damage to resident's property	Notify OCC as and when required	3	7	21
Injury / infection from dog waste.	Potential legal action Poor public perception of council	Dog waste bins installed at strategic locations. Notices to remind dog owners to clear up mess and dispose of responsibly.	2	2	4
Injury from defective public seating or playground equipment	Potential legal action	Periodic checks to public benches and playground equipment. Playground equipment is inspected annually by suitably qualified consultants and repairs carried out as necessary.	2	5	10



Risk Identification	Impact	Mitigation	Likelihood	Impact	Score
Business Continuity: Loss of council records / documents	Council would be unable to function fully. This would require significant effort to restore position.	IT systems backed up weekly (minimum). Records kept in secure cloud and backed up regularly. Anti-virus software kept up to date. Chairman holds sealed envelope with key passwords to enable access to system in the event the clerk is incapacitated. The burial register is complete and accurate and will be kept up to date using dedicated computer software. Master copies of all Full Council minutes are stored in a locked safe or cabinets. Additionally, all minutes since February 2016 are stored on the website server, which is held remote from the council office. Electronic copies are backed up regularly. All deeds of land owned or controlled by the council, and all leases, are stored in a fire-proof safe. Members' declarations of interest etc. are filed and updated when necessary and Adoption of codes etc. are dealt with as a matter of course.	2	9	18
Employment tribunal claim raised	Financial impact, loss of reputation.	Employees must sign a legally binding employment contract as based on the provided NALC template, accompanied by the Employee Handbook. When requires HR advice sought from appropriate external organisation.	1	8	8
Councillors rule on matters they have an interest in.	Incorrect procedure followed. Potential for decisions to be questioned. Loss of reputation	A register of interests is held by SODC, as provided by individual councillors and signed. All councillors are reminded of the requirement to declare interests and ask for any dispensations at the start of every meeting.	1	5	5



Risk Identification	Impact	Mitigation	Likelihood	Impact	Score
Damage or injury caused by electronic malfunction	Death / Fire / loss of property	PAT testing of PC assets carried out	1	10	10

3. Other Risks

Any other risks identified will be added to this document and graded for impact and likelihood at the earliest opportunity.

Risks relating to financial matters are managed by

- Financial Regulations
- Financial Risk Assessment
- Reserves Policy
- Statement of Internal Controls

4. Likelihood and Impact Scoring Scale

Likelihood	10	20	40	60	80	100
	8	16	32	48	64	80
	6	12	24	36	48	60
	4	8	16	24	32	40
	2	4	8	12	16	20
	2	4	6	8	10	
	Impact					

RISK
High
Medium
Low

5. Review

This document was approved for use at the meeting of the Parish Council on 04th October 2021, it shall be reviewed periodically, at least once per council term or if legislation dictates.

Signed:

Dated: 04th October 2021

K Bulmer, Chairman