

## ST TEATH PARISH COUNCIL – Risk Assessment schedule

**Definition of Risk Management** Risk is the threat that an event or action will adversely affect an organisations ability to achieve its objectives and successfully execute its strategies. Risk Management is the process by which risks are identified, evaluated and controlled. It is a key element of the framework of governance together with community focus, structures and processes, standards of conduct and service delivery arrangements.

This document has been produced to enable the Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them. In conducting this exercise the following plan was followed.

- Identify the areas to be reviewed
- Identify what the risks maybe
- Evaluate the management and control of risk and record findings
- Review, assess and revise as necessary.

### FINANCIAL AND MANAGEMENT

Subject	Risk Identified	H/M/L	Management/control of risk	Review/assess/revise
Business Continuity	Council not being able to continue business due to tragic or unexpected circumstance	M	Files and records are kept at the clerk's house. In the event of the clerk not being able to attend the meeting arrangements would be made for these to be available to Council and minutes written by a Councillor.	Consider basic Business Continuity plan (a requirement under the civil Contingencies act 2004) Ensure all council processes are followed
Insurance	Adequacy  Cost Compliance	L  L L	Annual review of policy undertaken prior to renewal Employer and employee liability is essential Ensure Compliance processes are in place	Review cover annually  Set up Compliance
Data Protection	Policy	L	Council is registered with the Data protection agency	Ensure Annual renewal of registration

<b>Subject</b>	<b>Risk Identified</b>	<b>H/M/L</b>	<b>Management/control of risk</b>	<b>Review/assess/revise</b>
Freedom of information Act	Policy Provision	L M	The Council has a model publication scheme for local councils in place. There have been no requests to date but council are aware that this is an entitlement	Monitor and report impact of requests made under freedom of information
Meeting location	Adequacy Health and safety	L	Meetings are held on the 3rd Monday of each month alternating between Delabole Methodist Church Rooms and St Teath Community Room. Delabole key is collected from a keyholder opposite the building by the Clerk and St Teath key is held by a councillor living nearby. Health and safety is considered adequate although Halls are often very cold in winter	Existing procedure adequate
Council Records	Loss through theft, Fire and Damage	L	Papers current and archived are securely stored at the clerk's home in a metal cabinet.	Damage or theft unlikely. Provision is considered adequate.
Councils electronic Records	Loss through damage, fire or corruption of Computer	M	Records are stored on a computer that was purchased for the clerk. Back up files are kept on a USB stick	Existing procedure is adequate
Precept Banking	Adequacy of precept Inadequate checks	M	Sound budgetary to back up the council's annual Monthly budget update is budget  Precept is an agenda item at the December meeting	
		L	Council's financial regulations set out in requirements for Banking and cheque reconciliations.	Existing adequate

<b>Subject</b>	<b>Risk Identified</b>	<b>H/M/L</b>	<b>Management/control of risk</b>	<b>Review/assess/revise</b>
Cash	Loss through theft or dishonesty	L	Council has no petty cash or float. Any transactions by the clerk are fully backed up by receipts and reimbursed monthly.	Existing procedure is adequate
Financial Control and records	Inadequate checks	L	Quarterly reconciliations. Cheque, initialled cheque stub and initialled invoices to validate the amount being spent. All Financial commitments must be agreed by council. Section 137 Payments must be noted	Need to ensure regularity adequate
Clerk	Loss of Clerk	L	Contingency may need to be established to ensure that council could pay for extra qualifications should the clerk need them. Clerk should be provided with appropriate training, reference books and access to legal advice	Include in Financial statement when setting precept. Membership of CALC  Monitor Working conditions
Election costs	Risk of election	M	Risk is higher in an election year. No factors to mitigate this risk	Include in budget for an election year
VAT	Reclaiming / Charging	L	The council has procedures for claiming VAT	Existing procedure is adequate
Annual return	Not submitted within the time limit	L	Annual return completed and signed by the council, submitted to the internal auditor for completion. Checked and sent on to the external auditor.	Existing procedure is adequate
<b>LIABILITY</b>				
Legal powers	Illegal activity or payments	L	All activities and payments made within the powers of the parish council, resolved and clearly minuted.	Existing procedure is adequate.
	Working parties taking decisions	L	Establish Clear terms of reference	Powers should be minuted. Monitor on a monthly basis

Subject	Risk Identified	H/M/L	Management/control of risk	Review/assess/revise
Minutes, Agendas and standing documents	Accuracy and legality	L	Minutes and agendas are produced in the prescribed method and adhere to legal requirements. Minutes are approved and signed off at the next meeting. Minutes and agendas are displayed according to legal requirements.	Existing procedure is adequate.  Undertake training of chair if needed
	Non Compliance with Statutory requirements	L	Business conducted at the council is managed by the chairman	Ensure councillors adhere to the code of conduct.
Public liability	Risk to third party property or individuals	M	Insurance is in place, risk assessments of individual events is undertaken	Existing procedure is adequate.
Employer liability	Non Compliance with employment law		Undertake training and seek advice when needed	Existing procedure is adequate.
Legal Liability Members interests	Legality of activities	M	Clerk Clarifies the legal position and takes advice when needed	Existing procedure is adequate
	Proper and timely reporting via minutes	L	Council receives and agrees minutes at monthly meetings	
	Proper document control	L	Retention of documents policy in place	
	Conflict of interest	M	Councillors have a duty to declare any interest at the start of the meeting	Existing procedure is adequate.  Members to let clerk know of any changes
		M	Register of interests forms should be reviewed annually	

## Assets

Subject	Risk Identified	H/M/L	Management/control of risk	Review/assess/revise
Assets	Loss or damage/risk/damage to third parties or to property	L	An asset register is kept up to date and insurance is held at the appropriate level for all items. Regular checks are made on all equipment by members of the council.	Existing procedure is adequate.
Maintenance	Poor performance of assets or amenities.	L	All assets are owned by the Parish Council are regularly reviewed and maintained.	Existing procedure is adequate.
	Loss of income or performance	L	All repairs and relevant expenditure for these repairs are authorised in accordance with Parish council procedures.	
	Risk to third parties	L	All assets are insured annually	
Notice boards	Risk / damage/ injury to third parties road side safety	L	Parish Council has 5 notice boards.. Each is regularly visited by the clerk who holds the keys.	Existing procedure is adequate.
Street furniture	Risk / damage/ injury to third parties road side safety	L	No formalinspection process is in place members of the public and councillors report issues to the clerk which are then dealt with.	Existing procedure is adequate.

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ITEM	FREQUENCY	LAST REVIEWED	COMMENTS
<b>Parish Council Insurance including</b> Public and employers liability Money and fidelity guarantee Personal Accident	Annually		
<b>Assets Inspection</b>	Annually		
<b>Financial Matters</b>  <b>Banking arrangements</b>  <b>Insurance providers</b>  <b>VAT Return Completed</b>  <b>Budget agreed, Monitored and reported</b>  <b>Precept requested</b>  <b>Payment approval procedure</b>  <b>Bank Reconciliation overseen by chairman</b>	Annually  Annually  Annually  Monthly  Annually  Annually  Ongoing		

Clerks salary reviewed and documented	Annually		
Internal Audit	Annually		
External audit	Annually		
Internal check of financial procedures	Annually		
<b>Administration</b>			
Minutes properly numbered	Ongoing		
Asset register available/ updated	Ongoing		
Financial regulations reviewed	Annually		
Standing orders reviewed	Annually		
Back up taken of computer records	Annually		
<b>Employers responsibilities</b>			
Contract of employment in place	Annually		
Contractors indemnity insurance	Ongoing		
Written arrangements with contractors	Ongoing		

<b>Members responsibilities</b>			
Code of conduct adopted	Ongoing		
Register of interests completed and updated	Ongoing		
Register of gifts and hospitality up to date	Ongoing		
Declarations of interests minuted	Ongoing		

**The information given above was agreed on ..... and will be agreed annually by St Teath Parish Council**

**Signed**

**Dated**

**Chairman**

**Clerk**