

DUNCHIDEOCK PARISH COUNCIL RISK ASSESSMENT 2018

<u>Subject</u>	<u>Risk(s) Identified</u>	<u>Risk Score H/M/L</u>	<u>Management/Control of Risk</u>	<u>Review Date/Reassessment</u>
Business Continuity	Council not being able to continue its business due to an unexpected or tragic circumstance	M	All files and recent records kept at the clerk's home. Computer back up of files taken and held on a memory stick. In the event of the clerk being indisposed, the chairman holds the details of website and email log on information and to contact DALC for a list of locum clerks.	Review when necessary
Meeting Location	Adequacy Health and Safety	L	Meetings are held in the Village Hall Dunchideock. The premises and facilities are considered to be adequate for the clerk, councillors and any public who attend from a health, safety and comfort point of view.	Adequate risk control in place
Council Records	Loss through theft fire or damage	M	Current papers held in a store in the clerk's home.	Damage or theft is unlikely so provision adequate.
Council Records Electronic	Loss through damage fire, corruption of computer	L	The parish council's electronic records are stored on the council's computer.	Adequate risk control in place
Precept	Adequacy of precept	L	Sound budgeting to underline annual precept. The parish council receives bi- monthly banking information, half-yearly budget updates, and a detailed budget in the autumn. The precept is an agenda item in January.	Existing procedure adequate.
Insurance	Adequacy Cost Compliance Fidelity guarantee	L L L L	An annual review is undertaken of all insurance arrangements in place. Employers liability, public liability and and fidelity guarantee are a statutory requirement. Current levels as per the insurance schedule.	Existing procedure adequate. Review provision and compliance Annually.

Banking	Inadequate checks	L	The council has Financial Regulations which set out the requirements for banking, cheques and the reconciliation of accounts. Accounts are annually reviewed by internal audit.	Existing procedures adequate. Review Financial Regulations as necessary.
Cash	Loss through theft or dishonesty.	L	The council has no petty cash or float. Any cash transactions made by the clerk, are fully receipted and then re-imbursed quarterly or paid by cheque on receipt of an invoice.	Existing procedures adequate.
Financial controls and records.	Inadequate checks	L	Bi monthly reconciliations prepared by the clerk and checked by the chairman at the agenda meeting. Two out of three signatories required per cheque. Internal and external audit. Any financial obligation must be resolved and clearly minuted before any commitment. All payments must be resolved and clearly minuted. Any S137 payments must be recorded at the time of approval.	Existing procedures adequate
Freedom of Information Act.	Policy Provision	L	The council has the model publication scheme for local councils in place. The clerk is aware that if a substantial request arrives then this may require many hours of additional work. The Council is able to request a fee if the work will take over 15 hours.	Monitor and report any impacts made under Freedom of Information Act.
Clerk	Loss of clerk Fraud Actions	M L L	A fund should be established to enable any future clerk to be trained for the clerk's qualification. The requirements of fidelity insurance guarantee must be adhered to. Clerk should be provided with any relevant training, reference books, access to assistance and legal advice.	Include in financial budget when setting Precept. Membership of DALC maintained. Monitor working conditions. Membership of SLCC recommended.
Election	Risk of Election cost	M	Risk is higher in election year. There are no measures which can be adopted to minimise the risk of a contested election. A contingency fund should be kept to meet these possible costs, particularly in election year.	Include in financial budget when setting precept.

VAT	Re-claiming/charging	L	The council has financial regulations which set out the requirements. VAT reclaims are undertaken annually.	Existing procedures adequate.
Annual Return	Not submitted within time limits.	L	Annual return is completed and signed off by the council The Internal Auditor needs to complete their section and sign. Exemption certificate applied for within the time limit.	Existing procedure adequate.

ASSETS

Street furniture	Damage to or theft of equipment/benches etc.	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 parish council.	Existing procedure adequate.
------------------	--	---	---	------------------------------

LIABILITY

Legal Powers	Illegal activity or payments Working parties taking decisions.	L M	All activity and payments made within the powers of the parish council are to be resolved and clearly minuted. No working parties exist within the parish council.	Existing procedures adequate.
Minutes/ Agendas/ Statutory Documents	Accuracy and legality Non compliance with statutory requirements	L L	Minutes and agendas are produced in the prescribed method and adhere to legal requirements. Minutes are approved and signed at the next meeting. Minutes and agendas are displayed according to legal requirements. Business conducted at council meetings is managed by the chairman.	Existing procedures adequate. Undertake adequate training. Councillors to adhere to the Code of Conduct.
Public liability	Risk to third party, Property or individuals	M	Insurance is in place. Risk assessment of any individual event undertaken.	Existing procedure adequate.
Employer Liability	Non compliance with Employment law	L	Undertake adequate training and seek advice from DALC or District Council where necessary. Maintain staffing committee.	set up a staffing committee.
Legal Liability	Legality of activities Proper and timely reporting via Minutes	M	Clerk to clarify legal position on proposals and seek advice if necessary. Council always receives and approves minutes at bi-monthly meetings.	

COUNCILLORS PROPRIETY

Members	Conflict of interest	M	Councillors have a duty to declare any interest at the start of the meeting. Register of Members Interests form to be reviewed on an annual basis.	Existing procedures adequate Members to take responsibility to update their register.
Interests	Register of Members Interests	L		

Signed.....

Dated.....

Next review date March 2019