

# Longtown Group Parish Council

## Risk Assessment Schedule

Adopted 21<sup>st</sup> June 2017

### Definition of Risk Management

Risk is the threat that an event or action will adversely affect the Parish Council's ability to achieve its objectives and to 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.

The Parish Council is aware that although some risks can never be eliminated fully, it has in place a strategy that provides a structured, systematic and focuses approach to managing risk, which:

- Identifies the subject
- Identifies what the risk may be
- Identifies the level of risk
- Evaluates the management and control of the risk and records findings
- Reviews, assesses and revises procedures if required

The following are the identified areas of risk. There is a separate Risk Management policy to be referred to as appropriate.

<b>Management</b>					
<b>Subject</b>	<b>Risks identified</b>	<b>H/M /L</b>	<b>Management/Control of Risk</b>	<b>Review/Assess/ Revise</b>	<b>Last Review</b>
Business Continuity	Council not being able to continue its business due to an unexpected or tragic circumstance	L	All files, recent records and website information are kept at the clerk's home. There are automatic back ups to backup discs at the clerk's home, and the clerk makes regular back ups of files to memory sticks held in the clerk's adjoining property. In the event of the clerk being indisposed the Chairman to contact HALC for advice.	Review when necessary. Ensure procedures below are undertaken	June 2017
Meeting Location	Adequacy Health and Safety	L	Meetings are held in Longtown Village Hall, Craswall Village Hall and Walterstone Village Hall. The Clerk or the Caretakers hold the keys to access the buildings. The premises and facilities are considered to be adequate for the Clerk, Councillors and any public who attend from a health and safety and comfort aspect.	Existing Procedure adequate	June 2017
Council Records	Loss through theft, fire, damage	L	Papers, both current and archived, are held in a filing cabinet at the clerk's home. Active records are mostly held electronically also.	Provision is considered to be adequate.	June 2017
Council Records electronic	Loss through damage, fire, corruption of computer	M	The Parish Council's electronic records and website are stored on the clerk's computer. See Business Continuity above.	Existing procedure adequate	June 2017
<b>Finance</b>					
Precept	Adequacy of precept	M	Sound budgeting to underlie annual precept. The Parish Council receives monthly budget update information and detailed budgets in the late autumn. The precept is an agenda item at the November and January meeting.	Existing procedure adequate	June 2017
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L M	An annual review is undertaken of all insurance arrangements in place. Employers Liability, Public Liability and Fidelity Guarantee are a statutory requirement	Existing procedure adequate Review provision and compliance annually	June 2017

Banking	Inadequate checks	L	The Council has Financial Regulations which set out the requirements for banking, cheques and reconciliation of accounts	Existing procedures adequate Review Financial Regulations as necessary	June 2017
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 reimbursed monthly or paid by cheque on receipt of an invoice.	Existing procedures adequate	June 2017
Financial controls and records	Inadequate checks	L	Quarterly reconciliation prepared by RFO and checked by two Councillors of the Parish Council. Two signatories on cheques. Internal and external audit. Any financial obligation must be resolved and clearly minuted before any commitment. All payments must be resolved and clearly minuted.	Existing procedures adequate	June 2017
Freedom of Information Act	Policy Provision	L M	The Council has a 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. However the request can be resubmitted, broken down into sections, thus negating the payment of a fee.	Monitor and report any impacts made under Freedom of Information Act	June 2017
Election Costs	Risk of election cost	M	Risk is higher in an election year. There are no measures, which can be adopted to minimise risk of having a contested election. A contingency fund should be established to meet the costs.	Include in financial statement when setting precept	June 2017
VAT	Re-claiming	L	HMRC has a standard form and procedures for re-claiming VAT.	Existing procedures adequate	June 2017
Annual return	Not submitted within time limits	L	The Clerk is responsible to ensure the accounts are submitted to the internal auditor, that the Annual return is completed and signed by the Council, then sent on to the External Auditor within time limit.	Existing procedures adequate	June 2017
<b>Assets</b>					
Street Furniture and other items	Damage to benches, signs etc	L	An asset register is kept up to date and insurance is held at the appropriate level. Regular checks should be made on all equipment by members of the Parish Council.	Existing procedures adequate	June 2017
<b>Liabilities</b>					
Legal Powers and legal liability	Illegal activity or payments	M	All activity and payments made within the powers of the Parish Council (not ultra vires) are to be resolved and clearly minuted. Clerk to clarify legal position on proposals and to seek advice if necessary	Existing procedures adequate	June 2017
Minutes/ Agendas/ Statutory Documents	Accuracy and legality Non compliance with statutory requirements	L	Minutes and agendas are produced in the prescribed method and adhere to legal requirements. Minutes are approved and signed at next meeting. Minutes and agendas are displayed according to legal requirements Business conducted at Council meetings is managed by the Chairman. Standing Orders are reviewed annually	Existing procedures adequate	June 2017

Public Liability	Risk to third party, property or individuals	M	Insurance is in place. Risk assessment of any individual event undertaken	Existing procedures adequate	June 2017
<b>Employees and Contractors</b>					
Clerk	Loss of clerk	M	A contingency fund should be established to enable training and induction in the event of the clerk resigning. The requirements of Fidelity Guarantee insurance must be adhered to.	Consider when setting next precept	June 2017
	Fraud	L			
	Actions undertaken	L	Clerk should be provided with relevant training, reference books, access to assistance and legal advice through membership of SLCC/HALC  Clerk as RFO to make quarterly payments to HMRC and report at next meeting	Monitor working conditions  Existing procedures adequate	June 2017
	Clerk's Salary and PAYE	M			
Employer Liability	Non compliance with employment law	L	Undertake adequate training and seek advice from HALC. Review Clerk's contract annually	Existing procedures adequate.	June 2017
Contractors	Non-compliance with terms of contract	L	Review contracts annually	Existing procedures adequate	June 2017
<b>Member's Responsibilities</b>					
Members Interests	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 at least on an annual basis.	Need to consider new regulations with reference to Standards and Register of Interests.	June 2017
	Register of members Interests	L			