

ALVERDISCOTT AND HUNTSHAW RISK ASSESSMENT

Risk assessment is a systematic general examination of working conditions, workplace activities and environmental factors that will enable the Parish Council to identify any and all potential inherent risks. The Parish Council, based on a recorded assessment, will take all practical and necessary steps to reduce or eliminate the risks, insofar as is practically possible.

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

FINANCIAL				
Subject	Risk(s) Identified	level	Management / control of risk	Review / Assess / Revise
Precept	Inadequate provision	L	The RFO provides the Council with a full budget of actual and forecast financial position, after reviewing provisions (insurance etc) in the precept meeting. Which is then reviewed and approved by full council. This resolves the precept amount to be requested from Torridge District Council, submitted by the Clerk in writing who informs the Council when the monies are received	Existing procedure adequate with annual review of budget. Precept and Financial Regulations
Inappropriate / unauthorised Expenditure	Loss of public funds Work awarded incorrectly Overspend on services	L	RFO reconciles bank statements and invoices for services All expenditure is reviewed, approved and signed as such at full Council meetings. Financial Regulations detail how work will be awarded	Existing procedure adequate with annual review of Financial Regulations
Bank and banking	Inadequate checks Bank mistakes Chair emergencies	L L L	The Council has Financial Regulations which set out the banking requirements. including Quarterly bank reconciliations In this event the Clerk will be provided with the appropriate information in order to make authorised bank payments on behalf of the Council.	Existing procedure adequate with annual review of Fin Regs
Reporting and Auditing	Information Communication	L	Financial Information is a regular agenda item at Council meetings and is discussed /reviewed and approved and included in the Minutes.	Existing procedures adequate with annual review of Fin Regs

Grants and support payable	Power to pay Ability to pay Authorisation to pay	L	All grants are included in the annual budget review, go through the required Council process of approval, and are included in the minutes when agreed and when paid.	Existing procedures adequate with annual review of Fin Regs
Insurance	Adequacy Cost	L L	An annual review is undertaken of all insurance arrangements. Insurance is a standard policy for Parish Councils and covers the current requirements.	Existing procedure adequate. Insurance reviewed annually
Non-Compliance with HMRC / VAT recording	Reclaiming / charging Financial loss Potential for fines	L	The Chair completes returns for compliance and has taken training on VAT for unregistered Parish Councils. HMRC software used for employee salary Annual Internal audit	Existing procedures adequate with annual review of Fin Regs
Inadequate reserves for unforeseen events, emergencies or elections	Failure of PC to fulfil community duties	L	The Council holds a small amount of money in reserve which is reviewed in full council meetings annually when assessing the precept to ensure that the reserve is not included as part of the budgeted costs but earmarked solely for emergencies or elections.	Existing procedures adequate with annual review of Fin Regs
GOVERNANCE				
Non-compliance with GDPR	Policy Provision	L	Council is now ICO registered	Annual renewal and review by Clerk
Failure to observe Standing Orders	Potential for challenge on decisions	L	Standing Orders will be reviewed annually	Annual review of all documents to be scheduled into full Council Meetings
Members Interests	Conflict of interests. Loss of integrity Register of members interests	L M	Register of members interests' forms kept by clerk, published on the web-site and reviewed regularly.	Existing procedures adequate Members take responsibility to update register
Out of date Regulatory documents	Potential challenge on decisions. Potential non-compliant transactions		Financial Regulations, Risk register and Standing Orders	Annual review of all documents to be scheduled into full Council meetings
Minutes / agendas / Notices	Accuracy and legality Public access	L	Minutes and agenda are produced in the prescribed manner by the Clerk and adhere to the legal requirements.	Existing procedures adequate

	Business conduct	L	Minutes are approved and signed at the next Council meeting Minutes and agenda are published on the web-site	Members adhere to code of conduct
Freedom of Information	Potential challenge on decisions made. Additional cost to Council	L	The Council has received past requests and will react as necessary to any requests. The Parish Council is aware that if a substantial request came in it could create a number of additional hours work.	Monitor any requests made under FOI
EMPLOYEE AND MEMBERS				
Clerk salary, costs and employment law	Salary paid incorrectly. Unpaid tax to Inland Revenue. Incorrect expectations	L L L	All salary payments are made through the official HMRC software. All salary and expenses are approved in full meetings Employment contract in place for Clerk	Existing procedures adequate with annual review of arrangements
Knowledge base of duties and requirements	Potential challenge on decisions. Incorrect information to public	L	All employees and members are provided with regular DALC updates with the opportunity to undertake training in order to undertake their roles.	Existing procedures adequate
Loss of Clerk and knowledge through unavailability or illness	Incorrect meeting documentation Possibility of unadvised decisions	L	The Council has had a long period without a Clerk during which time the Chair has taken on these responsibilities. With this knowledge and in the event that the Clerk is unable to fulfil their role the Chair will stand in.	Existing procedures adequate.
Appropriateness and safety of Meeting locations	Adequacy Health and Safety	L L	The Parish Council meetings are held alternately at Huntshaw and Alverdiscott village halls. Both venues are considered to have appropriate facilities for the Clerk, members and the general public Annual review by fire services	Existing procedures adequate
LEGAL LIABILITY				
Council records – paper	Loss through Theft Fire damage	L	The Parish Council records are stored at the home of the Chair. Members hold copies of historic agendas and minutes the situation with archive documents is currently under review	Damage and / or theft is unlikely and so provision is adequate

Council records electronic	Theft / fire damage / file corruption of computer		The Parish Council electronic records are stored on the Council laptop held with the Chair at their home. Anti-virus software has been installed Regular backups are taken and stored externally	Existing procedures considered adequate
Annual return	Not submitted correctly / in time Risk of fines	L	Annual Return added to the appropriate meeting agenda. Completed and signed by the Council, submitted to internal auditor for completion and signing then checked and sent to External Auditor within time frame.	Existing procedures adequate with annual review of Fin Regs
Activities fall outside legal powers	Potential for legal action Decisions challenged	L	The Clerk will clarify the legal positions on any new proposal and will seek legal advice on behalf of the Council where necessary	Existing procedures adequate with annual review of Fin Regs & Standing Orders
ASSETS				
Loss or damage	Loss or damage Risk / damage to third party property	L L	Annual review is undertaken for adequate insurance provision	Existing procedures adequate
Poor maintenance	Poor performance of assets	L	The Parish Council has no current formal inspection procedures in place for the bus shelter, phone box or notice boards although the members and the community do make regular visits and any faults or damage will be reported to the Parish Council. The laptop is maintained by the Clerk. The snow plough is currently stored with a local contractor and the Council is in the process of negotiating future arrangements for this asset.	Existing procedures adequate
GENERAL				
Web site	Out of date Hacked by a third party		The Councils website utilises software used by a large number of councils. Agendas and minutes are being published. The PC has identified there is a gap in knowledge of members to fully maintain the web site.	Training will be undertaken and procedures drawn up for future updating