WALCOTT PARISH COUNCIL

RISK ASSESSMENT SCHEDULE

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| **Subject** | **Risk(s) Identified** | **H/M/L** | **Management/Control of Risk** | **Review / Assess / Revise** |
| Business Continuity | Council not being able to continue its business due to an unexpected or tragic circumstance | L | All files and recent records are kept at the Parish Clerk’s home and on their computer. The Council’s files are held on Google drive. In the event of the clerk being indisposed the Chairman to contact Norfolk ALC for advice. Standing Orders reviewed November 2021 to consider including procedures for delegation to the Clerk in consultation with the Chairman and Vice Chairman in the event of a complete shutdown of the Council’s ability to operate. | Review when necessary |
| Meeting location | Adequacy Health and Safety | L | Meetings are held in the Coffee Shop at the Lighthouse Inn or by remote access where legislation allows and circumstances dictate. 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 |
| Council Records | Loss through theft, fire, damage | L | Papers, both current and archived held at the Parish Clerks home in safe keeping, or archived at Norfolk Archives. | Damage or theft is unlikely |
| Council Records electronic | Loss through damage, fire, corruption of computer | M | The Parish Council's electronic records are stored on Google Drive. | Existing procedure adequate. |

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| **FINANCE** | | | | |
| Precept | Adequacy of precept | M | Sound budgeting to underlie annual precept. The Parish Council receives financial statements at each meeting and precept for next year drafted in November and budget figures agreed at Parish Council January meeting. | Existing procedure adequate |
| Insurance | Adequacy, Cost Compliance  Fidelity Guarantee | L | 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 |
| Banking | Adequate 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 annually |
| Cash | Loss through theft or dishonesty | L | The Council has no petty cash or cash float. Any cash transactions are made by the clerk, are fully receipted and then reimbursed monthly or paid by cheque on receipt of an invoice | Existing procedures adequate |
| Financial controls and records | Adequate checks | L | Reconciliation of bank accounts carried out as received/required, prepared by RFO. Two signatories on cheques and cheque stubs, or releasing electronic payments. Annual Internal and external audit/compliance with Transparency Code. 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 time of approval. | Existing procedures adequate  Appoint a Parish Councillor to review bank statements and bank reconciliation quarterly |
| Freedom of Information Act | Policy Provision | L M | The Council has a Publication scheme for Local Councils in place. 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 |
| Clerk | Loss of Clerk  Fraud Actions Undertaken | M  L  L | In the event of the clerk resigning suitable replacement will be appointed.  The requirements of Fidelity Guarantee insurance must be adhered to Clerk should be provided with relevant training, reference books, access to assistance and legal advice obtained from Norfolk ALC. | Adequate |
|  | Salary paid incorrectly | L | Parish Council Internal audit will check this | Adequate |
| 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. To meet the costs through appropriate budgeting for the precept/from Parish Council reserves. Council to hold a general reserve equal to twelve months normal expenditure. | Adequate |
| VAT | Re-claiming/charging | L | The Council has financial regulations which set out the requirements | Existing procedures adequate |
| Annual return | Submitted and not submitted within time limits | L | Annual Governance & Accountability return to be prepared within statutory timeframes (normally by the end of June), then is completed and signed by the Council and prepared in accordance with the audit requirements (including the Transparency Code for Smaller Authorities where relevant). | Existing procedures are compliant. |

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| **ASSETS** | | | | |
| Notice Boards / Bus Shelter and Defibrillator | Checked bi-monthly  Checked monthly | L  L L L L 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 assets of the Parish Council.  EMERGENCY WORKS carried out up £500  with approval by three Parish Councillors | Existing procedures adequate |

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| **LIABILITY** | | | | |
| Legal Powers | Illegal activity or payments  Working Parties taking decisions | L L | All activity and payments made within the powers of the Parish Council (not ultra viries) and to be resolved and clearly minuted. Ensure established with clear terms of reference. | 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 next meeting. Minutes and agendas are displayed according to legal requirements. Business conducted at Council meetings should be managed by the Chairman | Existing procedures adequate Undertake adequate training  Members to adhere to 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 procedures adequate |
| Employer Liability | Insurance policy adequate | L | Parish Council reviews the policy annually. | Existing procedures adequate |
| Legal Liability |  | M L | Clerk to clarify legal position on proposals and to seek advice if necessary. | Existing procedures adequate |

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| **COUNCILLORS PROPRIETY** | | | | |
| Members Interests | Conflict of interest  Register of Members Interests | M L | Councillors have a duty to declare any interest at the start of the meeting Register of Members Interests form to be reviewed regularly. | Existing procedures adequate  Members to take responsibility to update their register |

**RISK ASSESSMENT SCHEDULE**

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| **ITEM** | **FREQUENCY** | **LAST REVIEWED** | **COMMENTS/ACTIONS** |
| Parish Council Insurance Including Public and Employers Liability Money and Fidelity Guarantee Personal Accident | Annually |  |  |
| Assets inspection | Quarterly |  |  |
| Financial Matters  Banking Arrangements Insurance Providers  VAT return completed  Budget agreed, monitored and reported  Precept requested:  Payments approval procedure  Bank reconciliation  Clerk's salary reviewed and documented  Internal finance check carried out by PCllr  Internal audit by appointed person  External audit  Internal check of financial procedures/compliance with Transparency Code | Annually Annually Annually Annually Annually  Monthly  As rec'd  Annually  At least Annually  Annually Annually  Annually |  |  |
| Administration  Minutes properly numbered  Asset register available/updated  Financial Regulations reviewed  Standing orders reviewed | Annually  Annually  Annually  Annually |  |  |
| Employers Responsibilities  Employees Indemnity Insurance policy  Written arrangements with employees | Received  Received |  |  |
| Members' responsibilities  Code of Conduct adopted  Register of Interests completed and updated  Register of Gifts/Hospitality  Declarations of Interests minuted | Received  Received In place |  |  |