

CREDITON HAMLETS PARISH COUNCIL RISK ASSESSMENT 2021

Subject	Risk(s) identified	Risk Score H/M/L	Management/Control of Risk	Review Date/Reassessment
Business Continuity	Council not being able to continue its business due to an unexpected or tragic circumstance	L	All files and recent records kept at Clerk's home. Computer back up of files made when computer is switched on or off in Google cloud. If Clerk is indisposed, the Chairman holds email log on information and knows to contact DALC for list of locum clerks.	Review when necessary
Meeting location	Adequacy Health & Safety	L	Meetings are held in rooms which are adequate for clerk, councillors and any public attending with regard to health, safety & comfort. During pandemic meetings are held remotely to avoid risk of infection at meetings.	Adequate risk control in place
Council Records	Loss due to theft, fire or damage	M	Current papers held in files in Clerk's home. Old records are held at County Records Office.	Damage or theft is unlikely so provision is adequate
Electronic Council Records	Loss through damage, fire or corruption of computer	L	Electronic records are stored on council's computer. Back ups are done when computer is turned on or off and stored in Google Cloud	Adequate risk control in place
Precept	Adequacy of precept	L	Sound budgeting to underline annual precept. Clerk receives regular bank statements and reports budget monitor to council every quarter. Precept and budget are reviewed and set annually in January.	Existing procedure adequate
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L L	Insurance arrangements reviewed annually. Employers liability, public liability and Fidelity guarantee are statutory requirements.	Existing procedure adequate. Reviewed annually
Banking	Inadequate checks	M	All payments are approved and minuted at Council meetings. All cheques are written by clerk and signed by two councillors. All bank	Existing procedures adequate but should have Financial Regulations

			statements are reconciled. Account is reviewed on annual internal audit and if required external audit.	setting out agreed procedures
Cash	Loss through theft or dishonesty	L	No petty cash or float held. Any cash transactions by clerk are receipted and reimbursed monthly by bank transfer after approval by Council.	Existing procedures adequate
Financial Controls and records	Inadequate checks	L	Monthly bank reconciliations carried out by clerk. Two out of three signatories required for cheques. All expenditure approved by Council and minuted. Annual internal audit and if required external audit. S137 payments approved by Council and minuted.	Existing procedures adequate
Freedom of Information requests	Policy provision	L	Model Publication Scheme for local councils is in place. Clerk is aware that if a substantial request is received it may require many hours of additional work.	Monitor and report impact from any FOI requests.
Clerk	Loss of Clerk Fraud Actions	M	Chairman has contact details for DALC to arrange locum. Training monies should be budgeted annually to enable any new clerk/RFO to attend initial training and then CiLCA qualification. Insurance includes a Fidelity guarantee. Clerk to be provided all relevant training, reference books and legal advice.	Include in annual training budget when setting Precept. Maintain membership of DALC. Monitor working conditions. Membership of SLCC recommended. Renew insurance annually.
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 possible costs, particularly in an election year.	Include election contingency fund in financial budget when setting precept.
VAT	Re-claiming/charging	L	VAT is re-claimed annually. Receipt is minuted.	Existing procedures adequate.

Annual Return	Not submitted within time limits	L	Annual return is completed and signed off by Council, submitted to Internal Auditor for completion for signing. Checked and sent to External Auditor within time limit(if required).	Existing procedures adequate
Assets				
Computer and Printer	Damage to or theft of assets	L	Assets are insured. Assets are kept securely in Clerk's home.	Existing procedures adequate.
Noticeboards	Injury to member of the public	L	Noticeboards are checked monthly and repaired when necessary. Public injury insurance in place and reviewed annually.	Existing procedures adequate.
Liability				
Legal Powers	Illegal activity or payments. Working parties taking decisions	L	All activity and payments made within the powers of the council and are clearly resolved and minuted. Working parties are not allowed to make financial decisions.	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 suitable meeting. Minutes and agendas are displayed according to legal requirements. Business conducted at meetings is managed by chairman.	Existing procedures adequate. Clerk and councillors undertake adequate training. Councillors adhere to the Code of Conduct
Public liability	Risk to third parties, property or individuals	M	Insurance is in place. Risk assessment of individual events is undertaken when appropriate	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 HR committee.	Existing procedure adequate
Legal liability	Legality of activities Proper and timely reporting via minutes	M	Clerk to clarify Council's legal position on proposals and seek advice if necessary. Council always receives and approves minutes at monthly meetings.	Existing procedures adequate

Councillors' Proprietary				
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 on an annual basis. Councillors to undertake appropriate training.	Existing procedures adequate. Members to take responsibility to update their own registers

Dated: March 2021

Next review date: March 2022