

**DILWYN PARISH COUNCIL
RISK ASSESSMENT SCHEDULE**

Definition of Risk Management

Risk is the threat that an event or action will adversely affect an organisation'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 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.

MANAGEMENT

Subject	Risk's identified	H/M/L	Management/Control of Risk	Review/ Assess/ Revise	Last Reviewed.
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 clerk's home. The files are backed up every half hour to the cloud. In the event of the clerk being indisposed the Chairman to contact HALC for advice	Review when necessary	May 2016
Meeting location	Adequacy Health and Safety	L	Meetings are held in St Mary's School. At least two members of the Parish Council have keys for access to the building. All 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	May 2016
Council Records	Loss through theft, fire, damage	L	Papers, both current and archived, are held in a filing cabinet at the clerk's home.	Provision is considered to be adequate.	May 2016
Council Records electronic	Loss through damage, fire, corruption of computer	M	The Parish Council's electronic records are stored on the clerk's computer. Back-ups is now to the cloud	Existing procedure adequate	May 2016

FINANCE

Crown Public House	Tennant	H	If no tenant is in the Crown there will be a lack of income to meet the PWLB repayment. That a reserve is built up of six months rent to assist with a period of no tenant	Review every 6 months	May 2016
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 December meeting.	Existing procedure adequate	May 2016

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	May 2016
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	May 2016
Cash	Loss through theft or dishonesty	L	The Council has no petty cash or 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	May 2016
Financial controls and records	Inadequate checks	L	Quarterly reconciliation prepared by RFO and checked by the Chair 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. This Council Has the General Power of Competence	Existing procedures adequate	May 2016
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	May 2016
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	May 2016
VAT	Re-claiming/charging	L	The Council has financial regulations which set out the requirements	Existing procedures adequate	May 2016

Annual return	Not submitted within time limits	L	Annual return is completed and signed by the Council, submitted to the Internal Auditor for completion and signing, then checked and sent on to the External Auditor within time limit	Existing procedures adequate	May 2016
ASSETS					
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	May 2016
Crown Inn	Fire, flood etc	L	Adequate insurance cover is provided	Existing procedures adequate	May 2016
LIABILITIES					
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) and to be resolved and clearly minuted. Clerk to clarify legal position on proposals and to seek advice if necessary Ensure they have clear terms of reference.	Existing procedures adequate	May 2016
	Working Parties taking decisions	L		Monitor	
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 should be managed by the Chairman Standing Orders to be reviewed annually Consider a document retention policy Advice available from Archive service	Existing procedures adequate	May 2016
	Proper document control			Take advice	May 2016
Public Liability	Risk to third party, property or individuals	M	Insurance is in place. Risk assessment of any individual event undertaken	Existing procedures adequate	May 2016
EMPLOYEES AND CONTRACTORS					
Clerk	Loss of clerk	M	A contingency fund should be established to enable training for the Clerk qualification in the event of the clerk resigning 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 through membership of SLCC/HALC Clerk as RFO to make quarterly payments to HMRC and report at next meeting	Consider when setting next precept	May 2016
	Fraud	L		Monitor working Conditions	
	Actions undertaken	L		Existing procedures adequate	
	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.	May 2016
Contractors	Non-compliance with terms of contract	L	Review contracts annually	Existing procedures adequate	May 2016
MEMBERS RESPONSIBILITIES					
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 at least on an annual basis	Need to consider new regulations with reference to Standards and Register of Interests.	May 2016