

Sheviock-St Dominic Parish Council

Risk Assessment Schedule covering operation of the Parish Council to fulfil its duties.

Management				
Business Activity	Risks identified	Risk Level H/M/L	Procedures to control risk	Review and/or extend
Business continuity	Council unable to continue its business due to unforeseen extreme circumstances	L	<ol style="list-style-type: none"> 1. All files and recent records kept in locked filing cabinets in office at <u>Sheviock Memorial Hall</u>, <u>Crafthole Clerk's home</u>. 2. The Clerk backs up all electronic files monthly and keeps backup at home. 3. List of all passwords held by the Chairman in the Chairman's Pack. 4. All documents in and out scanned and copied /copied to all councillors as additional backup. 5. Unexpected incapacity of Clerk covered by Councillors until solution agreed after discussion with CALC and Cornwall Council. 	<ol style="list-style-type: none"> 1. Review and check backup process and passwords annually.
Meeting locations	Adequacy of health	L	1. Normal meetings are held in the <u>St</u>	1. <u>Both Memorial Hall</u>

	and safety.		<p>Dominic Sunday SchoolroomParish Hall, St Dominic of the Methodist Chapel, Crafhole. Premises and facilities including disabled access considered to be adequate for the Clerk, Councillors and any member of the public who may attend.</p> <p>2. Parish Meetings and other ad hoc meetings can be held in Sheviock-St Dominic Methodist Chapel SchoolroomMemorial Hall. Premises and facilities including disabled access considered to be adequate for the Clerk, Councillors and any member of the public who may attend.</p> <p>3. Clerk works from the Bill Warren Room at Sheviock Memorial Hall. Premises and facilities including disable access considered to be adequate for the Clerk, Councillors and any member of the public who may attend.</p> <p>4. Key access to the three locations can be obtained from a number of sources within the village of Crafhole including Mike and Barbara Snowling and Lyn Vickery for both meeting rooms, additionally Ingrid Smith for the Methodist Chapel additionally Thelma Wells for the Memorial Hall.</p>	<p>and the chapel Committee to be asked annually for copies of their Fire equipment Certificates and copies of checks to electrical systems. Plus copies of updated risk assessments as and when alterations to the buildings occur or activities change.</p> <p>2. Parish Council have all electrical equipment owned by the Council PAT tested annually.</p> <p>3. Spare key for the Bill Warren Room held by the Chairman in the Chairman's Pack.</p>
Council Records	Loss through theft,	L	1. Papers held in locked filing cabinets	1. Review and check

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	fire or damage		<p>in Bill Warren Room of the Memorial HallClerk's Home.</p> <p>2. All papers received are scanned and circulated to Councillors and electronic copy held by Clerk which is backed up monthly and held remote from the office at home on external drive to laptop.</p>	backup process annually.
FINANCE				
Business Activity	Risks identified	Risk Level H/M/L	Procedures to control risk	Review and/or extend
Precept	Inadequate precept	M	<ol style="list-style-type: none"> 1. Precept agenda item for November meeting each year. 2. Annual budget reviewed and current year values considered when estimating precept. 3. Develop contingency reserve <u>to cover difference between replacement and depreciated value of asset of 40% annual expenditure and cover for long term sickness cover for Clerk.</u> 4. Precept set at <u>December January</u> meeting. 5. 3 <u>m</u> Monthly review and reconciliation of budget and expenditure. 	Review precept requirements annually.
Insurance	Adequacy and compliance	M	<ol style="list-style-type: none"> 1. Review cover against asset register annually. -Employers Liability and Public Liability cover required but self insure and 	Review provision and compliance annually.

			Fidelity risks. 2. Review cover against public liability of car park and toilets.	
Banking	Inadequate checks	L	1. Detailed Financial Arrangements in place that define cheque signing arrangements, approval of cheques for payment, electronic payments and reconciliation of accounts.	Financial Regulations reviewed at the Annual Parish Council Meeting annually.
Cash	Loss through theft or dishonesty	L	1. No petty cash or float is held by the council. -Any cash transactions are fully receipted and then reimbursed monthly by cheque listed and documented in the Minutes of the Parish Council. 2. Car Park income checked through reconciliation of ticket machine receipt and number of weekly tickets issued with bank receipts from deposit stubs or bank account statements.	Financial Regulations reviewed at the Annual Parish Council Meeting annually. Car park income signed off by chairman every 3 months.
Financial Controls and records	Inadequate checks Loss of records	L L	1. Three m Monthly reconciliation of accounts and budget prepared by the RFO and checked by the Chair of circulated to the Members of the Parish Council. End of year reconciliation and published on the website. 2. Two signatures required on cheques. 2. Two authorised approvals required for electronic payments	Financial Regulations reviewed at the Annual Parish Council Meeting annually.

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			<p>3. Internal and external audit annually.</p> <p>4. Section 137 of the LGA (1972) provided a power to award grants to local organisations for the benefit of the community. Any Section 137 payments will be recorded at the time of approval and comply with the current limit of expenditure per elector.</p>	
Payment of statutory PAYE and NI.	Failure to pay statutory amounts	M	<p>1. Estimated salary of every employee compared with the personal tax allowance threshold and the NI threshold. HMRC RTI used for Pay Roll</p> <p>2. If the lower of either threshold will be exceeded then statutory PAYE and NI deduction scheme will be followed.</p> <p>3. If neither threshold is exceeded all employees will be required to submit a letter annually confirming they take responsibility for advising the Revenue of their full taxable income including that earned from their employment by Sheviok Parish Council.</p>	<p>Check annually that the check has been undertaken and either PAYE and NI deduction scheme implemented or a letter accepting responsibility received from employees.</p>
Freedom of Information Act	Statutory policy requirements	L	<p>1. The Council has a Model Scheme for publication in place.</p> <p>2. The Council can obtain payment for providing hard copy but is aware that a significant request under FoI legislation could place a financial cost on the Council.</p>	<p>Monitor and report annually any costs incurred under FoI enquiries.</p>

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			3. Requests for information by the Monitoring Officer have been limited under the Council's Code of Practice for dealing with Complaints.	
Clerk	Loss of Clerk	M	1. Include contingency reserve to cover advertising and training costs.	Financial Regulations reviewed at the Annual Parish Council Meeting annually.
	Fraud	L	1. Financial regulations and checks to contain risk with self-over self-cover of risk.	Financial Regulations reviewed at the Annual Parish Council Meeting annually.
	Actions	L	1. Provision of funds for training as required.	Financial Regulations reviewed at the Annual Parish Council Meeting annually.
	Correct salary and gratuity —payments allocated	L	1. Annual internal audit to confirm payments made.	Maintain membership of CALC and monitor training needs at annual review.
Election Costs	Unplanned election mid term	H	1. Include sum within contingency reservesum to cover election costs at £1,500.	
Annual return	Not submitted within time limit	L	1. Annual return completed by clerk and approved by Council. 2. Internal Auditor checks and approves before submission to external auditor if applicable.	Ensure completed as an Agenda item at May <u>June</u> meeting of Council.
Assets				
Business Activity	Risks identified	Risk Level H/M/L	Procedures to control risk	Review and/or extend
Office equipment, Seats and village	Damage	L	Asset register kept up to date with appropriate insurance cover. Regular	

pump			maintenance of equipment.	
Car Park and toilets	Wear and tear leading to damage	M	Monitor regularly to identify deterioration at early stage when repair will be less costly.	Agenda item quarterly to confirm proscribe checks have been completed

LIABILITY

Business Activity	Risks identified	Risk Level H/M/L	Procedures to control risk	Review and/or extend
Legal Powers	Illegal activity or payment	L	<ol style="list-style-type: none"> 1. All activities and payments made within the powers of the Parish Council. 2. Training provided to the Clerk as required. 3. Commitment by councillors to attend training as required. 	Monitor annually though review of financial regulations and training requirements.
Minutes/agendas	Non compliance with statutory requirements	L	<ol style="list-style-type: none"> 1. Minutes and agendas produced to comply with legal requirements 2. Minutes are signed and approved at next meeting. 3. Current recommended Standing Orders and Code of Conduct adopted. 4. Business conducted at Council meetings managed by the Chairman. 	Annual review of training.
Public Liability	Claim from third party resulting from perceived non-compliance with safety by the Council	L	<ol style="list-style-type: none"> 1. Insurance in place. 2. Risk assess any events organised by the Council 	Review Insurance requirements annually.
	Weekly (in season)		Council member takes	Agenda item for

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	and monthly (out of season) checks on lifebelts not completed.		responsibility each year at the Annual meeting to carry out the task of checking, which includes arranging cover if away. Responsible councillor emails Clerk each week/month to confirm check has been completed. Clerk records date of check in spreadsheet to provide audit trail	reporting at quarterly meetings of parish council
	3 monthly checks of car park not completed or defect exceeding safety standards not repaired within time scale specified in policy.		1. Standards of defects and recoding used by Cornwall Council adopted 2. Council member takes responsibility each year at the Annual meeting to carry out the task of checking, which includes arranging cover if away. 3. Responsible councillor emails Clerk each week/month to confirm check has been completed. 4. Clerk records date of check in spreadsheet to provide audit trail	Agenda item for reporting at quarterly meetings of parish council
Employer Liability	Non compliance with employment law	L	1. Undertake training of Clerk and seek advice from CALC	
Legal Liability	Legality of activities	M	1. Training of Clerk to advise on decision making process. 2. Retention of all documentation 3. Accurate minutes	Review training requirements at annual review of Clerk
Members Interests	Conflict of interest	L	1. Councillors aware of Code of Conduct.	Review training requirements for

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			2. All Councillors to attend training on Code as made available from Cornwall Council <u>and/or CALC.</u>	Councillors annually. Councillors to review their Register of Interests <u>At 6 monthly intervals, annually</u> January and July
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Annual Review

Business Activity	Frequency of review	Responsibility	Comments	Date Last Reviewed
Insurance	Annually	Clerk		April/may 2014 September 2018
Assets inspection	Annually	Clerk		April 2019 2
Update asset register	Annually	Clerk		April 2012 March 2019
Banking Arrangements	Annually	Clerk		April 2012
Insurance providers	Annually	Clerk		April/May 2014 August/September 2
Budget agreed	Annually	Council		March and May 2014 December 2018 2
Precept agreed	Annually	Council		Nov 2013 and Jan 2014 December 2018 1
Budget monitored	3 -Monthly	Chairman Clerk		March 2014 2
Bank reconciliation	3 -monthly	Chairman Clerk		May 2014 2
Review of	Annually	Council		May 2012 May 2019

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financial regulations				
Clerks review	Annually	Chairman		Nov 2011
Clerks salary reviewed and documented	Annually	Council		Nov 2013 April 2019
Internal Audit	Annually	Chairman CL Finance		April/May 2014 92
External Audit	Annually	Clerk		Completed June 2013 sent to auditors June 2014
Minutes properly produced and published	Monthly	Clerk		Monthly
Standing Orders Reviewed	Annually	Council		May 2012 to be received completed July 2012 13 May 2019
Back-ups taken of all computer records	Monthly	Clerk		Monthly
Check passwords and key access current	Annually	Chairman		March 2013
Contracts of employment	Annually	Council		Clerk reviewed August 2013 November 2011, Dog warden Feb 2012
Contracts indemnity insurance	Check as new contracts awarded	Clerk		Grass tenders: to obtain contractors copy of public liability certificate of at least £2m completed April 2014 2
Written contracts	As new contracts	Clerk/Council		As new contracts

for work	tendered			tendered
Code of Conduct	Annually	Council		May 2013
Register of members interests	Every 6 months Jan and July Annually	Clerk		Completed Jan 2014 and to be reviewed in July 2013
Register of gifts	Monthly	Clerk		Has and will continue to be completed monthly at each parish council meeting and recorded in the minutes monthly
Declarations of interests recorded in the minutes	Monthly	Clerk		Has and will continue to be completed monthly at each parish council meeting and recorded in the minutes monthly
Review of Councillor and Clerk training requirements and record	Annually	Clerk/Chairman		May 2013
Policies, procedures and Codes of Practice	Annually	Council/ Clerk		May 2013 May 2019

The information given above is to be reviewed annually in ~~April~~ April and agreed upon at the Annual Parish Council Meeting of the ~~Shevock~~ St Dominic Parish Council held in May each year as being a correct record.

Signed ~~Nancy Gray July 2012~~ Linda Coles Clerk/RFO

May 2019

Chairman

Date

Clerk

Date