

## St Dominic Parish Council

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

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

Business continuity during any epidemic or pandemic	Council unable to continue its business due to unforeseen extreme epidemic or pandemic	M	<ol style="list-style-type: none"> <li>1. The government may suspend the requirement for Local Authorities to meet, and either delegate power to the Chair and Clerk, or permit Virtual Meetings</li> <li>2. In the event of a pandemic, the Clerk will be required to write a Risk Assessment for meetings, which will include any measures and precautions required to mitigate any risks.</li> </ol>	<ol style="list-style-type: none"> <li>1. This process will need to be monitored and updated annually.</li> </ol>
Meeting locations	Adequacy of health and safety.	L	<ol style="list-style-type: none"> <li>1. Normal meetings are held in the St Dominic Parish Hall, St Dominic. Premises and facilities including disabled access considered to be adequate for the Clerk, Councillors and any member of the public who may attend.</li> <li>2. Parish Meetings and other ad hoc meetings can be held in St Dominic Methodist Chapel Schoolroom. Premises and facilities including disabled access considered to be adequate for the Clerk, Councillors and any member of the public who may attend.</li> </ol>	<ol style="list-style-type: none"> <li>2. 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.</li> </ol>

Council Records	Loss through theft, fire or damage	L	<ol style="list-style-type: none"> <li>1. Papers held in locked filing cabinets in Clerk's Home.</li> <li>2. All papers received are scanned and electronic held by Clerk which is backed up monthly on external drive to laptop.</li> </ol>	<ol style="list-style-type: none"> <li>1. Review and check backup process annually.</li> </ol>
<b>FINANCE</b>				
<b>Business Activity</b>	<b>Risks identified</b>	<b>Risk Level H/M/L</b>	<b>Procedures to control risk</b>	<b>Review and/or extend</b>
Precept	Inadequate precept	M	<ol style="list-style-type: none"> <li>1. Precept agenda item for November meeting each year.</li> <li>2. Annual budget reviewed and current year values considered when estimating precept.</li> <li>3. Develop contingency reserve to cover difference between replacement and depreciated value of assets and for long term sickness cover for Clerk.</li> <li>4. Precept set at December meeting.</li> <li>5. Monthly review and reconciliation of budget and expenditure.</li> </ol>	Review precept requirements annually.
Insurance	Adequacy and compliance	M	<ol style="list-style-type: none"> <li>1. Review cover against asset register annually.</li> <li>2. Employers Liability and Public Liability cover required and Fidelity risks.</li> </ol>	Review provision and compliance annually.

Banking	Inadequate checks	L	1. Detailed Financial Arrangements in place that define cheque signing arrangements and authorization of online bank payments, approval of payments and reconciliation of accounts.	Financial Regulations reviewed annually.
Cash	Loss through theft or dishonesty	L	1. No petty cash or float is held by the council. 2. Any cash transactions are fully receipted and then reimbursed monthly by payments listed and documented in the Minutes of the Parish Council.	Financial Regulations reviewed annually
Financial Controls and records	Inadequate checks Loss of records	L L	1. Monthly reconciliation of accounts and budget prepared by the RFO and circulated to the Members of the Parish Council. End of year reconciliation published on the website. 2. Two signatures required on cheques and two councillors required to authorise online payments. 3. Internal audit annually. 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.	Financial Regulations reviewed annually.

Payment of statutory PAYE and NI.	Failure to pay statutory amounts	M	1. HMRC RTI used for Pay Roll	
Freedom of Information Act	Statutory policy requirements	L	<ol style="list-style-type: none"> <li>1. The Council has a Model Scheme for publication in place.</li> <li>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.</li> <li>3. Requests for information by the Monitoring Officer have been limited under the Council's Code of Practice for dealing with Complaints.</li> </ol>	Monitor and report annually any costs incurred under FoI enquiries.
Clerk	Loss of Clerk	M	1. Include contingency reserve to cover advertising and training costs.	Financial Regulations reviewed annually.
	Fraud	L	1. Financial regulations and checks to contain risk with self-cover of risk.	Financial Regulations annually.
	Actions	L	1. Provision of funds for training as required.	Maintain membership of CALC and monitor training needs at annual review.
	Correct salary payments allocated	L	1. Annual internal audit to confirm payments made.	
Election Costs	Unplanned election mid term	H	1. Include sum within contingency reserves to cover election costs	
Annual return	Not submitted within time limit	L	1. Annual return completed by clerk and approved by Council.	Ensure completed as an Agenda item at June meeting of Council.

			2. Internal Auditor checks and approves before submission to external auditor if applicable.	
<b>Assets</b>				
<b>Business Activity</b>	<b>Risks identified</b>	<b>Risk Level H/M/L</b>	<b>Procedures to control risk</b>	<b>Review and/or extend</b>
Office equipment, Seats	Damage	L	Asset register kept up to date with appropriate insurance cover. Regular maintenance of equipment.	
<b>LIABILITY</b>				
<b>Business Activity</b>	<b>Risks identified</b>	<b>Risk Level H/M/L</b>	<b>Procedures to control risk</b>	<b>Review and/or extend</b>
Legal Powers	Illegal activity or payment	L	<ol style="list-style-type: none"> <li>1. All activities and payments made within the powers of the Parish Council.</li> <li>2. Training provided to the Clerk as required.</li> <li>3. Commitment by councillors to attend training as required.</li> </ol>	Monitor annually though review of financial regulations and training requirements.
Minutes/agendas	Noncompliance with statutory requirements	L	<ol style="list-style-type: none"> <li>1. Minutes and agendas produced to comply with legal requirements</li> <li>2. Minutes are signed and approved at next meeting.</li> <li>3. Current recommended Standing Orders and Code of Conduct adopted.</li> <li>4. Business conducted at Council meetings managed by the Chairman.</li> </ol>	Annual review of training.

Public Liability	Claim from third party resulting from perceived non-compliance with safety by the Council	L	1. Insurance in place. 2. Risk assess any events organised by the Council	Review Insurance requirements annually.
Employer Liability	Noncompliance 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. 2. All Councillors to attend training on Code as made available from Cornwall Council and/or CALC.	Review training requirements for Councillors annually. Councillors to review their Register of Interests at 6 monthly intervals, January and July

## Annual Review

<b>Business Activity</b>	<b>Frequency of review</b>	<b>Responsibility</b>	<b>Comments</b>	<b>Date Last Reviewed</b>
Insurance	Annually	Clerk		September 2020
Assets inspection	Annually	Clerk		June 2021

Update asset register	Annually	Clerk		June 2021
Banking Arrangements	Annually	Clerk		April
Insurance providers	Annually	Clerk		August/September
Budget agreed	Annually	Council		December 2020
Precept agreed	Annually	Council		December 2020
Budget monitored	Monthly	Clerk		
Bank reconciliation	monthly	Clerk		
Review of financial regulations	Annually	Council		July 2021
Clerks salary reviewed and documented	Annually	Council		July 2021
Internal Audit	Annually	CL Finance		June/July 2021
Minutes properly produced and published	Monthly	Clerk		Monthly
Standing Orders Reviewed	Annually	Council		May 2021
Back-ups taken of all computer records	Monthly	Clerk		Monthly
Contract of employment	Annually	Council		



Contracts indemnity insurance	Check as new contracts awarded	Clerk		Grass tenders: to obtain contractors copy of public liability certificate of at least £2m
Written contracts for work	As new contracts tendered	Clerk/Council		As new contracts tendered
Code of Conduct	Annually	Council		
Register of members interests	Annually	Clerk		
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		

Policies, procedures and Codes of Practice	Annually	Council/ Clerk		May 2019
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The information given above is to be reviewed annually in April and agreed upon at the Annual Parish Council Meeting of the St Dominic Parish Council held in May each year as being a correct record.

*Jim Candy*

Signed Jim Candy Clerk/RFO

July 2021