

Lewannick Parish Council

Risk Assessment Schedule covering operation of the Parish Council in fulfilling 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 Clerk's home address. 2. The Clerk backs up all electronic files monthly and keeps back-up at home. 3. The Clerk runs duplicate systems on an office computer and on a hard drive. 4. List of all passwords held by the Chairman in the Chairman's Pack. 5. All documents in and out scanned and copied 6. Unexpected incapacity of Clerk covered by Councillors until solution agreed after discussion with CALC and Cornwall Council, with funds available to pay for Locum Clerk. 	<ol style="list-style-type: none"> 1. Review and check backup process and passwords annually.

Meeting locations	Adequacy of health and safety.	L	<ol style="list-style-type: none"> 1. Normal meetings are held alternately in the Sunday Schoolroom of the Methodist Chapel, Polyphant and Lewannick Village Hall. Premises and facilities including disable access considered to be adequate for the Clerk, Councillors and any member of the public who may attend. Nevertheless, any member of the public with a disability who wishes to attend a meeting will be advised on the agenda published on the website and on notice boards, to contact the Clerk in advance of that meeting. 2. Parish Meetings and other ad hoc meetings can be held in Lewannick Village Hall. Premises and facilities including disable access considered to be adequate for the Clerk, Councillors and any member of the public who may attend. 3. Clerk works from home and is responsible for own health and safety. 	<ol style="list-style-type: none"> 1. Both Village Hall 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.
Council Records	Loss through theft, fire or damage	L	<ol style="list-style-type: none"> 1. Papers held in locked filing cabinets at Clerk's address. 2. All papers received are scanned and circulated to Councillors and electronic copy held by Clerk which is backed up monthly and held securely. 	<ol style="list-style-type: none"> 1. Review and check backup process annually.

FINANCE

Business Activity	Risks identified	Risk Level H/M/L	Procedures to control risk	Review and/or extend
Precept	Inadequate precept	H	<ol style="list-style-type: none"> 1. Precept agenda item for October meeting each year. 2. Annual budget reviewed and current year values considered when estimating precept. 3. Three year outline rolling budget maintained which incorporates projected level of Precept 4. Develop contingency reserve to cover difference between replacement and depreciated value of assets and long term sickness cover for Clerk. 5. Precept set at November meeting. 6. Monthly review and reconciliation of budget and expenditure. 	Review precept requirements annually both for following year and projected for next 3 years.
Insurance	Adequacy and compliance	M	<ol style="list-style-type: none"> 1. Review cover against asset register annually. 2. Employers Liability Public Liability and Fidelity risks cover required. 3. Review cover against public liability of playgrounds. 	Review provision and compliance annually. Provide insurers with up-to-date asset register annually.
Banking	Inadequate checks	L	<ol style="list-style-type: none"> 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 Annually by a councillor and by the Clerk.

Cash	Loss through theft or dishonesty	L	<ol style="list-style-type: none"> 1. No petty cash or float is held by the council. 2. Any cash transactions to be fully receipted and then reimbursed monthly by cheque listed and documented in the Minutes of the Parish Council. 	Financial Regulations reviewed by the Annual Parish Council Meeting.
Financial Controls and records	Inadequate checks Loss of records	L	<ol style="list-style-type: none"> 1. Monthly reconciliation of accounts prepared by the RFO and checked by the Parish Council at the monthly meeting and published on the website. 2. Monthly bank reconciliation approved and minuted at every Parish Council meeting. 3. Two signatures required on cheques. 4. Two authorised approvals required for electronic payments 5. Internal and external audit annually. 6. Any grants will conform with the Parish Council's Grant Awarding Policy 	Financial Regulations reviewed at the Annual Parish Council Meeting.
Payment of statutory PAYE and NI.	Failure to pay statutory amounts	M	<ol style="list-style-type: none"> 1. Estimated salary of every employee compared with the personal tax allowance threshold and the NI threshold. 2. If the lower of either threshold will be exceeded then statutory PAYE and NI deduction scheme will be followed. 	Check annually that PAYE and NI deduction scheme has been implemented.

Freedom of Information Act	Statutory policy requirements	L	<ol style="list-style-type: none"> 1. The Council has a Model Scheme for publication in place. 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. 3. Requests for information by the Monitoring Officer have been limited under the Council's Code of Practice for dealing with Complaints. 4. Document retention complies with the NALC/CALC model. 	Monitor and report annually any costs incurred under FoI enquiries. Review the FoI Policy annually.
Clerk	Loss of Clerk	M	1. Include contingency reserve to cover advertising and training costs.	Financial Regulations reviewed Annually.
	Fraud	L	2. Financial regulations and checks to contain risk with self-cover of risk.	
	Actions	L	3. Provision of funds for training as required.	Maintain membership of CALC and monitor training needs at annual review.
	Correct salary payments allocated	L	4. Annual internal audit to confirm payments made.	
Pension	Not complying with statutory requirements	L	<ol style="list-style-type: none"> 1. Maintain Lewannick Parish Council on register of eligible organisations 2. If any employee's salary exceeds the tax free allowance then implement the pension scheme requirements. 3. If any employee requests in writing to be included in a pension scheme then implement the pension scheme 	

			requirements. 4. Include contingency sum for employer pension contribution in annual budget and precept.	
Election Costs	Unplanned election mid term	H	5. Include sum within contingency reserves to cover election costs at £3000.	
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.	Ensure completed as an Agenda item at May meeting of Council.

Assets

Business Activity	Risks identified	Risk Level H/M/L	Procedures to control risk	Review and/or extend
Office equipment, Seats, Playground equipment, bus shelters Parish Clock	Damage	L	Asset Register kept up to date with appropriate insurance cover. Regular maintenance of equipment.	
Playground equipment	Wear and tear leading to damage	M	Monitor regularly to identify deterioration at early stage when repair will be less costly.	Agenda item monthly to confirm prescribed 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.
	Annual ROSPA Inspection and certification of Playground equipment not completed.	L	<ol style="list-style-type: none"> 1. Record in minutes of first meeting after inspection completed outcome of inspection 	Report at annual Parish Council Meeting.
	Weekly visual inspection of playground equipment not completed.	L	<ol style="list-style-type: none"> 1. Council member takes responsibility each year at the Annual meeting to carry out the task of checking, which includes arranging cover if away. 2. Responsible councillor emails Clerk each week to confirm check has been completed. 3. Clerk records date of check 	Agenda item for reporting at monthly meetings of Parish Council
Employer Liability	Non compliance with employment law	L	<ol style="list-style-type: none"> 1. Undertake training of Clerk and seek advice from CALC. 	
Legal Liability	Legality of activities	M	<ol style="list-style-type: none"> 1. Training of Clerk to advise on decision making process. 2. Retention of appropriate documentation. 3. Accurate minutes. 4. Member liability cover included in Insurance Policy. 	Review training needs annually. Remind councillor's liability cover for slander/libel only covers council policy, not personal views, or statements made as a councillor that are contrary to council agreed policy.

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
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Annual Review

Business Activity	Frequency of review	Responsibility	Comments	Date Last Reviewed
Insurance	Annually	Clerk	April/May	
Assets inspection	Annually	Clerk	April	
Update Asset Register	Annually	Clerk	Continuous as required	
Banking Arrangements	Annually	RFO	April/May	October 2019
Insurance providers	Annually	Clerk		
Budget agreed	Annually	Council	October/November	
Precept agreed	Annually	Council	November	November 2019
Budget monitored	3 Monthly	RFO		
Bank reconciliation	Monthly	RFO		
Review of financial regulations	Annually	Council	May	
Review of financial risk register	Annually	Council	May	

Members register of interests	January and July	Clerk	Agenda item for January and July	
Members reminded of limit of liability for slander and libel	Annually	Clerk	May	
Clerks review	Annually	Chairman	March	
Clerks salary reviewed and documented	Annually	Council	March	
Internal Audit	Annually	Clerk/RFO/ CL Finance	April/May	
External Audit	Annually	Clerk/RFO/ PKF Littlejohn	Completed by June 30th	
Minutes properly produced and published	Monthly	Clerk		Monthly
Standing Orders Reviewed	Annually	Council	May	
Back-ups taken of all computer records	Monthly	Clerk		Monthly
Review back-up process	Annually	Chairman	May	
Check passwords	Annually	Chairman	May	
Contracts of employment	Annually	Chairman	May	
Contracts indemnity insurance	Check as new contracts awarded	Clerk		Grass tenders: to obtain contractors copy of public liability certificate

Written contracts for work	As new contracts tendered	Clerk/Council		As new contracts tendered
Code of Conduct	Annually	Council		May 2015
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	
Policies, procedures and Codes of Practice	Annually	Council	May	

The information given above is to be reviewed annually in April and agreed upon at the Annual Parish Council Meeting of the Lewannick Parish Council held in May each year or later meeting as agreed as being a correct record.

Signed  Clerk Date 21st January 2020 *Linda Coles, Acting Clerk to Lewannick Parish Council*