

**ALLERTHORPE PARISH COUNCIL
(the Council)**

RISK ASSESSMENT SCHEDULE

2014

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.

This document has been produced to enable the Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them. 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 (High, Medium, Low)
- 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
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 clerk makes a monthly back up of electronic files. In the event of the clerk being indisposed the Chairman to contact ERY Council for advice.	Review when necessary Ensure procedures below are undertaken
Meeting location	Adequacy Health and Safety	L	Meetings are held at Allerthorpe Village Hall. Keys are held by the Parish Clerk, Chairman and The Chair of the Village Hall Committee to gain access to the building. 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
Council Records	Loss through theft, fire, damage	L	Papers, both current and archived will be held securely at the clerk's home. Papers to be sent at intervals to the County archive.	Damage or theft is unlikely and so provision adequate.
Council Records electronic	Loss through damage, fire, corruption of computer	M	The Council's electronic records are stored on the clerk's computer. Back-ups of the files are taken at monthly intervals on an external hard drive, Insurance provides for data recover in the event of pc corruption. Most documents exist electronically on other councillors computers.	Existing procedure adequate.

FINANCE				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Precept	Adequacy of precept	M	Sound budgeting to underlie annual precept. The Council receives bimonthly financial update information and detailed budgets in December. The precept is an agenda item at the December meeting.	Existing procedure adequate
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
Banking	Inadequate checks	L	The Council has financial procedures in place which set out the requirements for banking, cheques and reconciliation of accounts.	Existing procedures adequate Review financial procedures as necessary; subject to advice from external audit.
Cash	Loss through theft or dishonesty	L	The Council has no petty cash or float. Any cash transactions are fully receipted and then reimbursed monthly or paid by cheque on receipt of an invoice	Existing procedures adequate
Financial controls and records	Inadequate checks	L	Bimonthly accounts presented to the council by the Clerk for checking/approval. Two signatories on cheques. Internal and external audit. Any financial obligation must be resolved and clearly minuted	Existing procedures adequate

			before any commitment. All payments must be resolved and clearly minuted.	
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 some 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
Clerk	Fraud	L	The requirements of Fidelity Guarantee insurance must be adhered to.	
	Actions undertaken	L	Clerk should be provided on request with training, reference books, access to assistance and legal advice	
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. Sufficient reserve is held to meet the costs.	Include in financial statement when setting precept for election year
VAT	Reclaiming/charging	L	The Council has financial procedures which set out the requirements.	Existing procedures adequate

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 agreed with the Audit Commission	Existing procedures adequate
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ASSETS				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Street furniture and playground equipment	Damage/theft to play equipment and benches etc.	L	An asset register is kept up to date and insurance is held at the appropriate level for all items. Maintenance and regular monthly checks are carried out on all equipment. A professional inspection is carried out annually and repairs based on its findings implemented.	Existing procedures adequate

LIABILITY				
Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Legal Powers	Illegal activity or payments	L	All activity and payments to be made within the powers of the Council and to be resolved and clearly minuted.	Existing procedures adequate Monitor on a regular basis

Minutes/ Agendas/ Statutory documents	Accuracy and legality	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	Existing procedures adequate
	Non compliance with statutory requirements	L		Undertake adequate training Members to adhere to Code of Conduct
Public Liability	Risk to third party, property or individuals	M	Insurance is in place. Risk assessment of any individual event undertaken	Existing procedures adequate
Employer Liability	Non compliance with employment law	-	The council has no direct employees.	
Legal Liability	Legality of activities	M	Clerk to clarify legal position on proposals and to seek advice if necessary Council always receives and approves minutes at bimonthly meetings Retention of document policy in place	Existing procedures adequate
	Proper and timely reporting via Minutes	L		Existing procedures adequate
	Proper document control	L		Existing procedures adequate

COUNCILLORS' PROPRIETY

Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Members Interests	Conflict of interest	M	Councillors have a duty to declare any interest at the start of the meeting Register of Members Interests held by Clerk to be updated as required.	Existing procedures adequate
	Register of Members Interests	L		Members to take responsibility to update

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ITEM	FREQUENCY	LAST REVIEWED	COMMENTS/ACTIONS
Council Insurance Including Public and Employers Liability Money and Fidelity Guarantee Personal Accident	Annually	21/05/2014 21/05/2014	
Assets inspection	Annually	21/05/2014	
Financial Matters Banking Arrangements Insurance Providers VAT return completed Budget agreed, monitored and reported Precept requested: Payments approval procedure Full updated annual accounts/bank statements presented & approved by council. Internal audit External audit Internal check of financial procedures	Annually Annually Annually Monthly Annually Monthly Bimonthly Annually Annually Annually	21/05/2014 21/05/2014 21/05/2014 21/05/2014 DEC 2013 21/05/2014 21/05/2014 21/05/2014 21/05/2014 21/05/2014	
Administration Minutes properly numbered Asset register available/updated Financial Regulations reviewed Backups taken of computer records	Ongoing Ongoing Annually Monthly	21/05/2014 21/05/2014 21/05/2014 21/05/2014	
Employers Responsibilities Contract of employment in place Contractors Indemnity Insurance Written arrangements with contractors	n/a	21/05/2014 21/05/2014 21/05/2014	
Members' responsibilities Code of Conduct adopted Register of Interests completed and updated Register of Gifts/Hospitality Declarations of Interests minuted	Ongoing Ongoing Ongoing Ongoing	21/05/2014 21/05/2014 21/05/2014 21/05/2014	

*These Financial regulations were adopted by Allertorpe Parish Council
At the AGM of the Council held on 21st May 2014*

Signed.....(Chair)