

## Sheviock 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 Sheviock Memorial Hall, Craffhole.</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 /copied to all councillors as additional backup.</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>
Meeting locations	Adequacy of health and safety.	L	<ol style="list-style-type: none"> <li>1. Normal meetings are held in the Sunday Schoolroom of the Methodist</li> </ol>	<ol style="list-style-type: none"> <li>1. Both Memorial Hall and the chapel</li> </ol>

			<p>Chapel, Craffhole. 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>2. Parish Meetings and other ad hoc meetings can be held in 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>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 Craffhole 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>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, fire or damage	L	<p>1. Papers held in locked filing cabinets in Bill Warren Room of the Memorial Hall.</p> <p>2. All papers received are scanned and circulated to Councillors and</p>	<p>1. Review and check backup process annually.</p>

			electronic copy held by Clerk which is backed up monthly and held remote from the office at home.	
<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 of 40% annual expenditure.</li> <li>4. Precept set at January meeting.</li> <li>5. 3 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 but self insure Fidelity risks.</li> </ol>	Review provision and compliance annually.
Banking	Inadequate checks	L	<ol style="list-style-type: none"> <li>1. Detailed Financial Arrangements in place that define cheque signing arrangements, approval of cheques for payment and reconciliation of accounts.</li> </ol>	Financial Regulations reviewed at the Annual Parish Council Meeting.
Cash	Loss through theft or dishonesty	L	<ol style="list-style-type: none"> <li>1. No petty cash or float is held by the council.</li> <li>2. Any cash transactions are fully receipted and then reimbursed monthly by cheque listed and</li> </ol>	Financial Regulations reviewed at the Annual Parish Council Meeting.

			documented in the Minutes of the Parish Council.	
Financial Controls and records	Inadequate checks Loss of records	L L	<ol style="list-style-type: none"> <li>1. Three monthly reconciliation of accounts and budget prepared by the RFO and checked by the Chair of the Parish Council and published on the website.</li> <li>2. Two signatures required on cheques.</li> <li>3. Internal and external audit annually.</li> <li>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.</li> </ol>	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"> <li>1. Estimated salary of every employee compared with the personal tax allowance threshold and the NI threshold.</li> <li>2. If the lower of either threshold will be exceeded then statutory PAYE and NI deduction scheme will be followed.</li> <li>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 Sheviocck Parish Council.</li> </ol>	Check annually that the check has been undertaken and either PAYE and NI deduction scheme implemented or a letter accepting responsibility received from employees.
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</li> </ol>	Monitor and report annually any costs incurred under FoI enquiries.

			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.	
Clerk	Loss of Clerk  Fraud  Actions  Correct salary and gratuity payments allocated	M  L  L  L	1. Include contingency reserve to cover advertising and training costs.  1. Financial regulations and checks to contain risk with self over of risk.  1. Provision of funds for training as required  1. Annual internal audit to confirm payments made.	Financial Regulations reviewed at the Annual Parish Council Meeting. Financial Regulations reviewed at the Annual Parish Council Meeting. Maintain membership of CALC and monitor training needs at annual review.
Election Costs	Unplanned election mid term	H	1. Include sum within contingency sum 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.	Ensure completed as an Agenda item May meeting of Council.
<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>
Seats and village	Damage	L	Asset register kept up to date with	

pump			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	Non compliance 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	<ol style="list-style-type: none"> <li>1. Insurance in place.</li> <li>2. Risk assess any events organised by the Council</li> </ol>	Review Insurance requirements annually.
Employer Liability	Non compliance with employment law	L	<ol style="list-style-type: none"> <li>1. Undertake training of Clerk and seek advice from CALC</li> </ol>	
Legal Liability	Legality of activities	M	<ol style="list-style-type: none"> <li>1. Training of Clerk to advise on decision making process.</li> </ol>	Review training requirements at annual

			2. Retention of all documentation 3. Accurate minutes	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	Review training requirements for Councillors annually. Councillors to review their Register of Interests annually 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		April 2011
Assets inspection	Annually	Clerk		April 2011
Update asset register	Annually	Clerk		April 2011
Banking Arrangements	Annually	Clerk		April 2011
Insurance providers	Annually	Clerk		April/May 2011
Budget agreed	Annually	Council		Feb 2011
Precept agreed	Annually	Council		Nov 2010
Budget monitored	3 Monthly	Chairman		March 2011
Bank reconciliation	3 monthly	Chairman		May 2011
Review of financial regulations	Annually	Council		May 2011
Clerks review	Annually	Chairman		May 2011

Clerks salary reviewed and documented	Annually	Council		To be reviewed in Nov 2011
Internal Audit	Annually	Chairman		April 2011
External Audit	Annually	Clerk		May 2011
Minutes properly produced and published	Monthly	Clerk		Monthly
Standing Orders Reviewed	Annually	Council		May 2011
Back-ups taken of all computer records	Monthly	Clerk		Monthly
Check passwords and key access current	Annually	Chairman		March 2011
Contracts of employment	Annually	Council		To be reviewed in November 2011
Contracts indemnity insurance	Check as new contracts awarded	Clerk		Grass tenders: to obtain contractors copy of public liability certificate of at least £2m April
Written contracts for work	As new contracts tendered	Clerk/Council		As new contracts tendered
Code of Conduct	Annually	Council		May 2011
Register of members interests	Every 6 months Jan and July	Clerk		Completed Jan 2011 and to be reviewed in July 2011
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 2011
Policies, procedures and Codes of Practice	Annually	Council		May 2011

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

Signed

Chairman

Date

Clerk

Date