

## Dobwalls and Trewidland 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 cabinet in office at The Firs, Lower Metherell, Callington</li> <li>2. The Clerk backs up all electronic files monthly to One Drive, which with password can be accessed from any computer, anywhere.</li> <li>3. The Clerk runs duplicate systems on her computer and on the laptop computer.</li> <li>4. List of all passwords held by the Chairman in the Chairman's Pack.</li> <li>5. 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.</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. Eight meetings per annum are held in the Sunday Schoolroom of the Dobwalls United Church, the other four being held in the Village Hall at Trewidland. Premises and facilities including disable access considered to be adequate for the Clerk, Councillors and any member of the public who may attend. Members of the public are advised to contact the Clerk for details of disabled access.</li> <li>2. Extraordinary meetings of the Parish Council can be accommodated at either of the above venues.</li> <li>3. Clerk works from an office in her home.</li> <li>4. Key access to the two locations can be obtained from a number of sources within the villages of Dobwalls and Trewidland.</li> </ol>	<ol style="list-style-type: none"> <li>1. Both Village Hall and the United Church 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> <li>2. Parish Council have all electrical equipment owned by the Council PAT tested annually.</li> <li>3. In the event of incapacitation of the Clerk the Chairman will be given access to the filing cabinet and Laptop Computer belonging to the Parish Council.</li> </ol>

Council Records	Loss through theft, fire or damage	L	<ol style="list-style-type: none"> <li>1. Papers held in locked filing cabinet in the Clerk's home at The Firs, Lower Metherell, Callington.</li> <li>2. All papers received are scanned and electronic copy held by Clerk which is backed up monthly and held remote on One Drive.</li> </ol>	<ol style="list-style-type: none"> <li>1. All records can be accessed at any time and backups of records are on One Drive which can be accessed anywhere with the passwords</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 long term sickness cover for Clerk.</li> <li>4. Precept set at December meeting.</li> <li>5. 3 monthly review and reconciliation of budget and expenditure.</li> </ol>	Review precept requirements annually for following year
Insurance	Adequacy and compliance	M	<ol style="list-style-type: none"> <li>1. Review cover against asset register annually.</li> <li>2. Employers Liability Public Liability and Fidelity risks cover required.</li> <li>3. Review cover against public liability</li> </ol>	Review provision and compliance annually. Provide insurers with up-to-date asset register annually.

Banking	Inadequate checks	L	1. Detailed Financial Arrangements in place that define cheque signing arrangements, approval of cheques for payment and reconciliation of accounts.	Financial Regulations reviewed Annually by a councillor and by the Clerk.
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 cheque listed and documented in the Minutes of the Parish Council.	Financial Regulations reviewed at the Annual Parish Council Meeting.
Financial Controls and records	Inadequate checks Loss of records	L L	1. Three monthly reconciliation of accounts and budget prepared by the RFO and checked by the Chair of the Parish Council. 2. Monthly bank reconciliation approved by 2 councillors independently at every Parish Council meeting; different councillors to apply the check at each meeting. 3. Two signatures required on cheques. 4. Internal and external audit annually. 5. 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	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	Check annually that PAYE and NI deduction scheme has been implemented.

			exceeded, then statutory PAYE and NI deduction scheme will be followed.	
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> <li>4. Document retention complies with the NALC/CALC model.</li> </ol>	Monitor and report annually any costs incurred under FoI enquiries. Review the FoI Policy annually.
Clerk	<p>Loss of Clerk</p> <p>Fraud</p> <p>Actions</p> <p>Correct salary payments allocated</p>	<p>M</p> <p>L</p> <p>L</p> <p>L</p>	<ol style="list-style-type: none"> <li>1. Include contingency reserve to cover advertising and training costs and cost of Locum if necessary.</li> <li>2. Financial regulations and checks to contain risk with self-cover of risk.</li> <li>3. Provision of funds for training as required.</li> <li>4. Annual internal audit to confirm payments made.</li> </ol>	Financial Regulations reviewed Annually. Financial Parish Council Meeting. Maintain membership of CALC and monitor training needs at annual review.
Pension	Not complying with statutory requirements	L	<ol style="list-style-type: none"> <li>1. Maintain Dobwalls and Trewidland Parish Council on register of eligible organisations</li> </ol>	

			<p>2. If any employee's salary exceeds the tax free allowance, then implement the pension scheme requirements.</p> <p>3. If any employee requests in writing to be included in a pension scheme, then implement the pension scheme requirements.</p> <p>4. Include contingency sum for employer pension contribution in annual budget and precept.</p>	
Election Costs	Unplanned election mid term	H	5. Include sum within contingency reserves to cover election costs at £2,000.	
Annual return	Not submitted within time limit	L	<p>1. Annual return completed by clerk and approved by Council.</p> <p>2. Internal Auditor checks and approves before submission to external auditor.</p>	Ensure completed as an Agenda item at May meeting of Council.

## Assets

<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 and Notice Boards, Marquees Bus Shelters	Damage	L	Asset register kept up to date with appropriate insurance cover. Regular maintenance of equipment.	

## LIABILITY

<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	<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	Noncompliance 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> <li>2. Retention of appropriate documentation.</li> <li>3. Accurate minutes.</li> </ol>	Review training requirements at annual review of Clerk. Remind councillor's liability cover for

			4. Member liability cover included in Insurance Policy.	slander and libel only covers council policy, not personal views, or statements made as a councillor that our 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 annually.

## 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 2018
Assets inspection	Annually	Clerk		March 2018
Update Asset Register	Annually	Clerk		March 2018
Banking Arrangements	Annually	Clerk		May 2018
Insurance providers	Annually	Clerk		May 2018



Budget agreed	Annually	Council		November 2017
Precept agreed	Annually	Council		November 2017
Budget monitored	3 Monthly	Clerk		March 2018
Bank reconciliation	Monthly	2 Councillors		Monthly
Review of financial regulations	Annually	Council		May 2018
Review of financial risk register	Annually	Council		May 2018
Members register of interests	January and July	Clerk	Agenda item for January and July	January 2018
Members reminded of limit of liability for slander and libel	Annually	Clerk		Annually
Clerks review	Annually	Chairman		May
Clerks salary reviewed and documented	Annually	Council		May
Internal Audit	Annually	CL Finance Ltd		April/May
External Audit	Annually	Clerk		Completed June sent to auditors June
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		March
Check passwords and key access current	Annually	Chairman		March
Contracts of employment	Annually	Council		Clerk reviewed May 2018
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		May 2018
Register of members interests	Annually	Clerk		May
Register of gifts	Monthly	Clerk		Has and will continue to be completed monthly at each Parish Council meeting and recorded in the Minutes of that meeting and the Register.
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 of that meeting and the Register.
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/May and agreed upon at the Annual Parish Council Meeting of the Dobwalls and Trewidland Parish Council held in May each year, or a later Parish Council meeting as agreed, as being a correct record.

Linda Coles May 2018

Clerk to Dobwalls and Trewidland Parish Council