



NORTH LEVERTON WITH HABLESTHORPE PARISH COUNCIL

RISK ASSESSMENT SCHEDULE

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.

Audit Commission – Worth the Risk: Improving Risk Management in Local Government (2001:5)

This document has been produced to enable the Parish 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
- 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	There is a business continuity plan in place	Review when necessary
Meeting location	Adequacy Health and Safety	L	Meetings are held at the Methodist Chapel in North Leverton. One Parish Councillor has access to keys. The premises and facilities are considered to be adequate for the Clerk, Councillors and public that attend from a health & safety and comfort aspect	Existing procedure adequate
Council Records	Loss through theft, fire, damage	L	Current papers are held in an office and archived papers in a separate room, both at the clerk's home.	Damage or theft is unlikely and so provision adequate.
Council Records electronic	Loss through damage, fire, corruption of computer	M	The Parish Council's electronic records are stored on the clerk's computer. Back-ups of the files are kept on discs, updated regularly.	Existing procedure adequate.

FINANCE

Precept	Adequacy of precept	M	Sound budgeting to underlie annual precept. The Parish Council receives monthly budget update information and detailed budgets in the late autumn. The precept is an agenda item at the January meeting.	Existing procedure adequate



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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 Regulations which set out the requirements for banking, cheques and reconciliation of accounts	Existing procedure adequate Review Financial Regulations as needed
Cash	Loss through theft or dishonesty	L	The Council has no petty cash or float. Any cash transactions are made by the clerk, are fully receipted and then reimbursed quarterly or paid by cheque on receipt of an invoice	Existing procedure adequate
Financial controls and records	Inadequate checks	L	Monthly reconciliation prepared by RFO and checked by the Chair of the Parish Council. Two signatories on cheques. Internal and external audit. Any financial obligation must be resolved and clearly minuted before any commitment. All payments must be resolved and clearly minuted. Any s137 payments must be recorded at time of approval	Existing procedure adequate
Freedom of Information Act	Policy Provision	L	The Council has a model publication scheme for Local Councils in place. The charge of 10p per sheet for copies of minutes etc applies to information that is no more than five years old and older information may only be available for inspection by members of the public and/or may incur a significantly higher charge.	Monitor and report any impacts made under Freedom of Information Act
Clerk	Loss of clerk Fraud Actions undertaken	M L L	A contingency fund should be established to recruit a suitably qualified Clerk in the event of the clerk resigning The requirements of Fidelity Guarantee insurance must be adhered to Clerk should be provided with relevant training, reference books, access to assistance and legal advice	Include in financial statement when setting precept Membership of SLCC maintained
VAT	Re-claiming/charging	L	The Council has financial regulations which set out the requirements	Existing procedure 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	Existing procedure adequate



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Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
ASSETS				
Street furniture	Damage to benches, seats and Notice Boards etc.	L	An asset register is kept up to date and insurance is held at the appropriate level for all items. Regular checks are made on all equipment by members of the Parish Council	Existing procedure adequate
Play Park equipment	Damage to property Public liability	L	As above	Existing procedure adequate
LIABILITY				
Legal Powers	Illegal activity or Payments	L L	All activity and payments made within the powers of the Parish Council (not ultra vires) and to be resolved and clearly minuted.	Existing procedure adequate
Minutes/ Agendas/ Statutory documents	Accuracy and legality Non compliance with statutory requirements	L 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 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	L	Undertake adequate training and seek advice, if necessary, from NALC	Existing procedures adequate
Legal Liability	Legality of activities Proper and timely reporting via Minutes Proper document control	M L L	Clerk to clarify legal position on proposals and to seek advice if necessary Council always receives and approves minutes at monthly meetings Retention of document policy in place	Existing procedures adequate Existing procedures adequate Existing procedures adequate
COUNCILLORS PROPRIETY				
Members' Interests	Conflict of interest Register of Members Interests	M L	Councillors have a duty to declare any interest at the start of the meeting Register of Members' Interests form to be reviewed at least on an annual basis	Existing procedures adequate Members to take responsibility to update their register