

Zennor Parish Council – Risk Assessment as at 10th July 2018

Risk is the threat that an event or action will adversely affect an organisations ability to achieve its objectives and 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 Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them. In conducting this exercise the following plan was followed.

- Identify the areas to be reviewed
- Identify what the risks maybe
- Evaluate the management and control of risk and record findings
- Review, assess and revise as necessary

Subject	Risk Identified	High/Medium/Low	Management/control of risk	Review/assess/revise
Administration:				
Asset Register	Not enough insurance	Low	Asset Register reviewed and updated annually.	Carry out annual review.
Business Continuity	Council not being able to continue business due to unexpected circumstances	Medium	Files and records are kept at the Clerk's house. In the event of the Clerk not being able to attend the meeting one of the Councillors will stand in for the Clerk and take the minutes but no files will be available.	Consider basic Business Continuity Plan (a requirement under the Civil Contingencies Act 2004). Ensure all Council processes are followed.
Clerk	Loss of Clerk	Low	Contingency may need to be established to ensure that Council could pay for extra qualifications should the Clerk need them. Clerk should be provided with appropriate training, reference books and access to legal advice.	Include in financial statement when setting precept. Membership of CALC. Monitor working conditions. Carry out annual review.

Subject	Risk Identified	High/Medium/Low	Management/control of risk	Review/assess/revise
Council Records	Loss through theft, fire or damage	Low	Current papers are stored at the Clerk's home. Old minute books and other important documents that are required to be kept, as per the retention schedule, have been scanned onto CD and the originals deposited at the Cornwall Record Office.	Damage or theft unlikely. Provision is considered adequate.
Councils Electronic Records	Loss through damage, fire or corruption of computer	Medium	Records are stored on a computer with anti-virus protection. Back up files are kept on a USB stick/external hard drive.	Existing procedure is adequate.
General Data Protection Regulations	Handling Data	Low	The Council has a Privacy Policy and Privacy Notice in place. The Clerk has undertaken a Privacy Impact Assessment.	Review policies annually.
	Provision	Medium	There have been no requests to date but Council are aware that this is an entitlement and have a Subject Access Request Policy in place.	Monitor & report impact of requests made under SAR. Review policy annually. Register with ICO.
Legal Liability	Legality of activities	Medium	Clerk clarifies the legal position and takes advice when needed.	Existing procedure is adequate.
	Proper and timely reporting via minutes	Low	Council receives and agrees minutes at monthly meetings.	Existing procedure is adequate.
	Proper document control	Low	Retention of documents policy in place.	Review policy annually.
Legal powers	Illegal activity or payments	Low	All activities & payments made within the powers of the Parish Council are resolved and clearly minuted.	Existing procedure is adequate.
	Working Parties taking decisions	Low	Establish clear Terms of Reference.	Powers should be minuted. Monitor regularly.

Subject	Risk Identified	High/Medium/Low	Management/control of risk	Review/assess/revise
Meeting location	Adequacy Health and safety	Low	Meetings are held on the second Tuesday in the month at Zennor Village Hall. The key is kept outside the Hall. Health and safety is considered adequate.	Existing procedure is adequate.
Minutes & Agendas / Standing Orders / Financial Regulations	Accuracy and legality	Low	Minutes and Agendas are produced in the prescribed method and adhere to legal requirements. Minutes are approved and signed off at the next meeting. Minutes and Agendas are displayed according to legal requirements. Standing Orders & Financial Regulations are reviewed annually in line with NALC recommendations.	Existing procedure is adequate. Review all policies annually.
Notice boards	Risk / damage/ injury to third parties / road side safety	Low	Parish Council has two noticeboards: 1. Outside Zennor Churchyard 2. Outside the Gurnard's Head Hotel Each is regularly visited by the Chairperson who holds the keys.	Existing procedure is adequate.
Employer's responsibilities:				
Contract of Employment:	Non-compliance with Employment Law	Low	Contract of employment should be issued when new Clerk starts and salary reviewed annually and documented.	Carry out annual review.
Contractors:	Not properly insured	Low	Request copies of all contractors Public Liability Insurance.	Review annually.
	No contract in place	Low	Ensure contracts issued and returned in timely fashion once contract agreed.	Review as necessary.
Employer liability	Non-compliance with Employment Law	Low	Undertake training and seek advice when needed.	Existing procedure is adequate.

Subject	Risk Identified	High/Medium/Low	Management/control of risk	Review/assess/revise
Financial Matters:				
Annual Return	Not submitted within the time limit	Low	Annual Return completed and signed by the Council, submitted to the Internal Auditor for completion. Certificate of Exemption applied for and accounts displayed with Public Rights Notice as required.	Existing procedure is adequate.
Banking	Inadequate checks	Low	Council's Financial Regulations set out the requirements for Banking and reconciliations.	Existing procedure is adequate. Review policies annually.
Cash	Loss through theft or dishonesty	Low	Council has no petty cash or float. Any transactions by the Clerk are fully backed up by receipts and reimbursed monthly.	Existing procedure is adequate.
Election costs	Risk of election	Medium	Risk is higher in an election year. No factors to mitigate this risk	Include in budget for an election year.
Financial Control and records	Inadequate checks	Low	Monthly reconciliations. Two signatures on each cheque, initialled cheque stub and invoices to validate the amount being spent. Any BACS payments are processed by the Clerk and authorised by a Councillor following invoices being authorised. All Financial commitments must be agreed by Councillors before payment. Section 137 Payments must be recorded as such at time of authorisation.	Existing procedure is adequate. Review annually.

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Insurance	Adequacy	Low	Annual review of policy undertaken prior to renewal.	Review cover annually.
	Risk to third party, property or individuals	Low	Public liability insurance is essential.	Review annually.
	Compliance	Low	Ensure compliance processes are in place.	Review Compliance annually.
Precept	Adequacy of precept	Medium	Sound budgetary recording, reporting and planning to back up the Council's annual budget. Precept is an agenda item at the December meeting.	Quarterly budget update is provided by the Clerk / RFO to Council meetings.
VAT	Reclaiming / Charging	Low	The Council has procedures for reclaiming VAT.	Existing procedure is adequate.
Members responsibilities:				
Code of Conduct	Non-compliance with Statutory requirements	Low	Business conducted at the Council is managed by the Chairman.	Undertake training of Chair if needed. Ensure Councillors adhere to Code of Conduct. Review annually.
Members interests	Conflict of Interest	Medium	Councillors have a duty to declare any interest at the start of the meeting and ensure it is recorded.	Existing procedure is adequate.
	Non-compliance with Statutory requirements.	Medium	Register of Interests forms should be reviewed annually.	Members to let Clerk know of any changes.

Signed as adopted by the Chairman

Signature: _____

Date: _____