

Stoke Lodge and The Common Parish Council Risk Assessment Schedule

INSURANCE

Risk Description	Measures Taken	Recommendations/Controls
Damage to third party property or individuals Risk to third party as a consequence of providing a service	Public Liability Insurance & Property Owner's Insurance Ongoing maintenance to seats, bins and fencing etc., Agreed delegated expenditure to Clerk (RFO) to commission emergency equipment repairs	Annual check on level of cover in place Clerk (RFO) Logged system of complaints received and action taken Play equipment checked by Parish Clerk on a regular basis and faults reported to suppliers
Protection of Council properties furniture and equipment	Property Damage Insurance All Risks Insurance Up to date Asset Register Regular Maintenance of equipment	Annual check on insurance values Clerk (RFO) Asset Register (Year end) Use of professional technician, use of reputable insurance provider, and testing carried out as appropriate by qualified technician
Insolvency of insurance company	Use of one of the largest companies providing specialist cover for Local Councils	Free legal service and advice from National Association of Local Councils and Avon Local Councils Association
Loss through theft or dishonesty	Fidelity Guarantee in Insurance cover	Thorough vetting process of job applicants, references taken up
Personal Accident to Members and Officers Assault to Officers	Personal Accident cover Including Assault cover Employer's Liability cover Libel Slander cover	Annual check on level of cover in place Clerk (RFO)

AREAS OF SELF MANAGED RISK

Risk Description	Measures Taken	Recommendations/Controls
Damage to and safety of seats, bins and fencing etc	Regular maintenance to be undertaken	Councillors requested to keep a check on PC owned equipment and to report any problems to Clerk (RFO).

Agreed at Full Parish Council Meeting on 09th November 2023

		Reports from members of the public
Unwanted visitors entering building during meetings/ Disturbance by member of public in a Council meeting		Procedures in place to deal with this in the Council's Standing Orders.
Security of officers working alone in buildings Security of officers locking up building after meetings	Inform other occupants of building Officers to be accompanied when leaving the building and locking up after meetings	Chairman to ensure that officers are not left alone to exit building after meetings.
Procedures in place for recording and monitoring members' interests, gifts and hospitality received Completion of Code of Conduct	Code of Conduct signed and a Register of Interest completed by each Member of the Council Disclosure of interest register kept listing any interests, gifts and hospitality received Disclosure of interests to appear as an item on the agenda as a prompt to members (at every meeting).	Internal audit check. Registers of Interest kept by the Clerk and uploaded to the Council website Ensure all Councillors are aware of Code, and need to complete Registers. NB – This is the responsibility of individual Councillors.
Keeping proper financial records in accordance with statutory requirements	Regular scrutiny of financial records and approval of pending expenditure Records kept in accordance with Accounts and Audit Regulations	Financial regulations adopted and reviewed annually Twice yearly visits by Internal Auditor Annual External Audit Officer training
Ensuring all requirements met under employment law and HM Revenue and Customs regulations Fair pay for staff Unfair dismissal claims	Regular returns to HMRC; contracts of employment for all staff, systems of updating records for any changes in relevant legislation Salaries set in accordance with NALC / SLCC recommended scales Grievance procedure	Councillors made aware of their responsibly as Employers Ensure that any training opportunities on Audit, tax, VAT are taken up Grievance procedure in place

Failure of Computer system	Virus protection Clerk (RFO) authorised for emergency replacement	Regular updates of virus protection Regular computer backups are made on external hard drives, one of which is stored away from the office premises Provision reviewed annually by Clerk (RFO)
Banking Arrangements	Monthly bank reconciliations All payments in line with Financial Regulations	Regular monitoring reports to Council. Internal and External Audit
Loss of Income, or the need to provide essential services	Reserve in the budget	Level agreed as part of annual budget process
Ensuring all requirements are met under VAT	Regular returns to HMRC	Take up training opportunities in VAT and other taxation issues as available Reading literature to keep up-to-date
Ensuring adequacy of annual precept and control	Approval of budget by full Council and regular budget monitoring statements	Regular budget monitoring
Ensuring all business activities are within legal powers applicable to local council	Councillor and staff training	Provide adequate training budget Internal audit / External audit
Complying with restrictions on borrowing	Borrowing approval authorised by Council in line with current restrictions	Reference to Local Council Administration Book (Charles Arnold Baker) Guidance from National Association of Local Councils and ALCA
Ensuring proper use of funds granted to local community groups under specific powers or under 137	Identification of items paid under Section 137 and reported in the minutes and as a separate column in the accounts	NALC annual notification of permitted level of expenditure Internal Audit / External Audit

Meeting timetables as laid down when responding to consultation invitations, including commenting on planning applications	Consultation documents presented to next appropriate Committee/Council meeting to formulate response	Action agreed / minuted
Breach of Confidentiality	Procedures for dealing with confidential data Passwords on computer systems	PC registered under Data Protection Act Appropriate Standing Order Item on agenda considered for taking in private session with resolution to exclude the public
Proper, timely and accurate reporting of Council business in minutes	Minutes properly numbered with a master copy kept in safekeeping Minutes published on website Minutes circulated as appropriate	Minutes approved and signed at next meeting of Council Internal Audit check Computer backup
Failure to respond to electors wishing to exercise their rights of inspection Supporting papers	Minutes placed on the website for public inspection Advertising of end of year accounts and available for inspection to the public as required under the Accounts and Audit Regulations Freedom of Information Publication Scheme	Notice of Appointment confirmation agreed with Auditors
Document control – correspondence, postage, storage and filing, etc	Correspondence date receipted Filing systems maintained in metal cabinets.	Documents backed up on an external hard drive. The production and storage of physical documents is restricted as far as possible. Storage of old and/or important documents to be monitored

POTENTIAL FOR WORKING WITH PARTNERS TO REDUCE RISK

Risk Description	Measures Taken	Recommendations/Controls
Changes to legislation and procedures	Provide effective training for Staff and Councillors	Provide adequate budget for staff and Councillor training by NALC / SLCC
Supplies and Services provided to the Council	Contract for services advertised and awarded in line with Standing Orders and Financial Regulations Ensure Contractors have adequate insurance and public liability cover	Contracts approved by Committee ratified by Council Copy of insurance certificate supplied before award of contract Remind contractors re Health and Safety implications

The above schedule was reviewed and adopted by Stoke Lodge and The Common Parish Council on 09th November 2023

Reviewed

Signed by.....Annie Wherrett.....Position.....Parish Clerk.....Date.....09th November 2023.....

Next Review – November 2024.

Internal Audit specification will include;

- Review of internal controls in place and their documentation
- Review of minutes to ensure legal powers in place recorded and correctly applied
- Testing of income and expenditure from minutes to cashbook, from bank statements to cashbook, from minutes to statements etc.,
- Review and testing of arrangements to prevent and detect fraud and corruption
- Review and testing of specific controls, reporting findings to Council

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