



ST AGNES PARISH COUNCIL

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General Risk Assessment and Management 2019/20

Adopted 7th May 2019

Each Council should have in place a system to help it to manage risk. This system will be simple for the smallest Parishes and more complex for larger Parish and Town Councils. A Council's internal auditor may use this risk management system to help to identify what tests to carry out as part of the audit.

Risk management is important. The failure to manage risks effectively can be expensive in financial terms and also in terms of service delivery. Most Clerks will already be assessing and managing risks in some way or other but there may be room to improve and document existing practices.

Members are ultimately responsible for risk management because risks threaten a Council's ability to achieve its objectives. The Clerk should therefore ensure that members should:

- Identify the key risks facing the Council
- Evaluate the potential to the Council of one of these risks taking place; and
- Agree measures to avoid, reduce or control the risk or its consequence.

Area	Risk	Risk Level H/M/L	Potential Impact H/M/L	Management/Control of risk	Review/Action required
Assets	Protection of physical assets including the Parish Rooms, Museum, Churchtown toilets etc	M	H	Insured. Value increased as necessary. Asset register. Museum building management delegated to Museum Trust. Review risk assessments annually. Periodic inspections. Action any defects asap after notification.	Review insurance and asset register annually.
	Security and maintenance of buildings, equipment etc. Hazards to service users, public and staff	M	M	Locked doors at entrance of building. Keys are held by staff with spare copy held in the key safe. Key holder policy in place. Fire Procedures, appliances/equipment checking. Produce risk assessments. Ensure contractors have correct cover/certificates.	Maintain existing procedures. Review risk assessments annually. Action any defects asap after notification
Finance	Banking (errors or irregularities)	L	L	Adherence to adopted financial regulations – reviewed annually. Investment strategy reviewed annually. Internal controls, internal and external audit	Maintain existing procedures
	Risk of loss of income - precept	L	M	Ensure adequate reserves. Review insurance annually	Maintain existing procedures
	Loss of cash through theft or dishonesty	L	L	Adherence to adopted financial regulations – reviewed annually. Review insurance	Maintain existing procedures.
	Loss of investment funds with CCLA Property Fund	L	M	Ensure that the fund is a safe and reasonable investment by engaging with Independent Financial Advisor.	Monitor performance of the fund. Acknowledge long-term nature of investment.

	Financial controls and records	L	L	Adherence to adopted financial regulations – reviewed annually Internal controls, internal and external audit	Maintain existing procedures.
	Compliance with VAT Regulations, PAYE & NI	L	H	Comply with HMRC regulations. Quarterly returns to be made. Internal controls.	Maintain existing procedures. Train Clerk and Admin staff as appropriate to undertake compliance procedures.
	Budget preparation and cash-flow (inadequate)	L	M	Sound budgeting to underlie annual Precept. Council receives detailed budget forecasts quarterly. Precept derived directly from actuals, forecasts and future need. Expenditure against budget reported to the Council quarterly.	Maintain existing procedures.
Liability	Risk to third party, property or individuals	M	M	Public Liability Insurance in place to £10m. Separate risk assessments for allotment sites and burial grounds – checks undertaken as required Review insurance cover annually	Action any defects asap after notification
	Compliance with Law (Employment, transparency, Fol etc.)	M	M	Membership of various national and regional bodies, i.e. NALC & SLCC. Employer Liability Insurance in place. Internal Audit	Maintain existing procedures. Action to comply resulting from Internal Audit report 2017/18.
	Safety of Staff and visitors	M	H	Lone working arrangements in place. Key holder policy in place.	Maintain existing procedures.
	Ensuring activities are within legal powers	M	H	Clerk clarifies legal position on any new proposal. Training for Clerk & Councillors as required	Legal advice to be sought where necessary. Continuous professional development of Clerk essential. General Power of Competence to be adopted.

Administration	Incomplete register of interests (Councillor)	M	L	Regular reminder to members. Code of Conduct training for members	Maintain existing procedures.
	Business Continuity / Loss of Council records	L	H	Back up files, passwords being held off-site, agreed procedures for Council administration.	Maintain existing procedures.
	Long-term adverse impacts from poor decision-making or poor implementation. Reputational damage and loss of confidence	L	H	Adherence to adopted Standing Orders – reviewed annually Holding correct meetings / consultation. Code of Conduct Adherence to policies and procedures by all staff and Councillors Pursue Councillor and staff training when available.	Maintain existing procedures.
	Loss of Qualified Clerk	L	H	Impact on General Power of Competence – unable to run certain services (e.g. library) HR Committee trained and able to recruit qualified person to fill vacancy	Other staff currently undertaking CiLCA.
Contractors	Lack of professionalism and non-compliance with law and procedures	M	M	Follow procurement procedures as set out in Financial Regulations. Request copies of contractor's insurance, risk assessment and method statement.	

Procedural reviews

Council Activity	Frequency of Review	Responsibility	Comments	Date Last Reviewed
Insurance	Annually	Clerk		March 2019
Assets inspection	As indicated in allotment and burials risk assessments	Environment Committee and Property and Devolved Services Committee	Several inspections per year undertaken as per policy	April 2019
Update asset register	Annually	Clerk		March 2019
Banking arrangements	Annually	Clerk		December 2018
Budget agreed	Annually	Full Council		December 2018
Precept agreed	Annually	Full Council		December 2018
Budget monitored	3 monthly	Full Council and Clerk		December 2018
Bank reconciliation	3 monthly	Full Council and Clerk		December 2018
Review of Financial Regulations	Annually	Full Council and Clerk	To review in 2019/20	November 2017
Review of General Risk Assessment	Annually	Full Council and Clerk		February 2019
Members register of interests	Per election cycle or as changes occur	Individual Councillors		December 2018
Staff appraisals, including pay, contracts	Annually	HR Committee and Clerk		January 2019

Council Activity	Frequency of Review	Responsibility	Comments	Date Last Reviewed
Internal Audit	Bi-Annually	Internal Auditor	Next audit due 16 May 2019	January 2019
External Audit	Annually	Clerk		May 2018
Minutes properly produced and published	At each formal meeting	Clerk and other staff		Ongoing
Standing Orders Reviewed	Annually	Full Council and Clerk		March 2019