



## ST AGNES PARISH COUNCIL

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### General Risk Assessment and Management 2023/24

Adopted 2<sup>nd</sup> May 2023

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
<b>Assets</b>	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. Environment & Property Manager in place with specific remit for maintenance and repairs schedules.	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. External key holding company in place for out of hours emergencies. Fire Procedures, appliances/equipment checking. Produce risk assessments. Ensure contractors have correct cover/certificates.	Maintain existing procedures.  Environment & Property Manager in place.  New key cabinet in place with catalogued system.  Review risk assessments annually. Action any defects asap after notification
<b>Finance</b>	Banking (errors or irregularities)	L	L	Adherence to adopted financial regulations. 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. 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. 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.
	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 – budget reports increased to monthly.  Purchasing policy being pursued in conjunction with Financial Regulations.
<b>Liability</b>	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, FoI etc.)	M	M	Membership of various national and regional bodies, i.e. NALC & SLCC. Employer Liability Insurance in place. Internal Audit.	Maintain existing procedures.
	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	Legal advice to be sought where necessary.

				required. General Power of Competence adopted.	Continuous professional development of Clerk essential.
<b>Administration</b>	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.  Pursue full bespoke training periodically to ensure new Cllrs are fully informed of correct procedures, impacts and roles of the staff, the Councillors, and the Council as a whole.
	Loss of Qualified Clerk	L	H	Impact on General Power of Competence – unable to run certain services or pursue projects  HR Committee trained and able to recruit qualified person to fill vacancy	Other staff obtained CiLCA.

<b>Contractors</b>	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.	Environment & Property Manager in place with specific remit to manage contracts.
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### Procedural reviews

<b>Council Activity</b>	<b>Frequency of Review</b>	<b>Responsibility</b>	<b>Comments</b>	<b>Date Last Reviewed</b>
Insurance	Annually	Clerk		April 2023
Assets inspection	As indicated in allotment and burials risk assessments	Environment and Property Committee	Several inspections per year undertaken as per policy; to be reinstated imminently following end of COVID restrictions.  Tree survey carried out April 2021.	June 2022
Update asset register	Annually	Clerk		March 2023
Banking arrangements	Annually	Clerk		December 2022
Budget agreed	Annually	Full Council		January 2023
Precept agreed	Annually	Full Council		January 2023
Budget monitored	3 monthly (minimum)	Full Council and Clerk	Aiming to report monthly	April 2023
Bank reconciliation	Monthly	Full Council and Clerk		March 2023
Review of Financial Regulations	Each Council term	Full Council and Clerk		May 2021
Review of General Risk Assessment	Annually	Full Council and Clerk	On agenda for May 2023	May 2022
Review of Investment Strategy	Annually	Full Council and Clerk	On agenda for May 2023	May 2022

<b>Council Activity</b>	<b>Frequency of Review</b>	<b>Responsibility</b>	<b>Comments</b>	<b>Date Last Reviewed</b>
Members register of interests	Per election cycle or as changes occur	Individual Councillors		May 2021
Staff appraisals, including pay, contracts	Annually	HR Committee and Clerk		January 2023
Internal Audit	Bi-Annually	Internal Auditor		April 2023
External Audit	Annually	Clerk		May 2022
Minutes properly produced and published	At each formal meeting	Clerk and other staff		Ongoing
Standing Orders Reviewed	Each Council term	Full Council and Clerk		May 2021