



**Pucklechurch Parish Council Risk Assessment Schedule 2017**

**INSURANCE**

<b>Risk Description</b>	<b>Measures Taken</b>	<b>Recommendations/Controls</b>
<p>Damage to third party property or individuals</p> <p>Risk to third party as a consequence of providing a service</p>	<p>Public Liability Insurance &amp; Property Owner's Insurance</p> <p>Ongoing maintenance to seats, bins and fencing etc.,</p> <p>Village Orderly RoSPA and defibrillator supplier trained</p> <p>Agreed delegated expenditure to Clerk (RFO) to commission emergency equipment repairs</p>	<p>Annual check on level of cover in place Clerk (RFO)</p> <p>Logged system of complaints received and action taken</p> <p>Play equipment and defibrillators checked by Maintenance Contractor on a two weekly basis and faults reported to Clerk (RFO) and suppliers</p> <p>Annual GPFA inspection of Play Equipment</p>
<p>Protection of Council properties furniture and equipment</p>	<p>Property Damage Insurance</p> <p>All Risks Insurance</p> <p>Up to date Asset Register</p> <p>Regular Maintenance of equipment / Annual PAT</p> <p>Testing of electrical small appliance</p>	<p>Annual check on insurance values Clerk (RFO)</p> <p>Asset Register (Year end)</p> <p>Use of professional technician, use of reputable insurance provider, and testing carried out annually by qualified technician. Monitored by Parish Clerk</p>
<p>Insolvency of insurance company</p>	<p>Use of one of the largest companies providing specialist cover for Local Councils, as recommended by ALCA</p>	<p>Free legal service and advice from National Association of Local Councils and Avon Local Councils Association</p>
<p>Loss through theft or dishonesty of staff or members</p>	<p>Fidelity Guarantee incorporated in to insurance schedule</p>	<p>Thorough vetting process of job applicants, references taken up and annual staff reviews</p>
<p>Personal Accident to Members and Officers Assault to Officers</p>	<p>Personal Accident cover Including Assault cover</p> <p>Employer's Liability cover Libel</p> <p>Slander cover</p>	<p>Annual check on level of cover in place Clerk (RFO)</p> <p>Clerk and Village Orderly – i-phones provided</p>



		Risk assessment and training given re safety procedures re use of supplied equipment all personal protection equipment supplied by Council
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**AREAS OF SELF MANAGED RISK**

<b>Risk Description</b>	<b>Measures Taken</b>	<b>Recommendations/Controls</b>
Damage to and safety of seats, bins and fencing etc.,	Regular maintenance by Village Orderly to be undertaken. Equipment no longer repairable to be reported to Parish Clerk	Councillors/ Village Orderly requested to keep a check on PC owned equipment and to report any problems to Clerk (RFO). Reports from members of the public
Emergency situations e.g. fire  Disturbance by member of public in a Council meeting	Mobile phone on-hand to summon assistance  Location of fire exits made known	Procedures in place to deal with this in the Council's Standing Orders. Members trained in conflict resolution Members trained in first aid
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. <b>NB – This is the responsibility of individual Councillors.</b>
Keeping proper financial records in accordance with statutory requirements	Regular scrutiny of financial records and approval of pending expenditure	Financial regulations adopted and reviewed annually  Detailed specification for engaging an Annual Internal Auditor <sup>i</sup>



<b>Risk Description</b>	<b>Measures Taken</b>	<b>Recommendations/Controls</b>
	Records kept in accordance with Accounts and Audit Regulations	Annual External Audit Officer training
Failure to collect rents from Council's leases Failure to issue new allotment agreements	Regular monitoring of income received Invoices scheduled on annual calendar  Schedule of allotment agreement with due date maintained reviewed Quarterly	Annual Internal and External Audit
Ensuring all requirements met under employment law and Inland Revenue regulations  Fair pay for staff  Unfair dismissal claims	Regular returns to Inland Revenue; 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 and Appeals procedure	Councillors made aware of their responsibly as Employers  Annual Staff Appraisals are undertaken, recorded and agreed  Ensure that any training opportunities on Audit, tax, VAT are taken up Grievance and Appeals procedure in place
Failure of Computer system  <ul style="list-style-type: none"> <li>• Hardware</li> <li>• Software</li> </ul>	Virus protection  Clerk (RFO) authorised for emergency replacement	Regular updates of virus protection  Regular computer backups are made on external hard drive by Parish Clerk.  Some backups stored on and off premises.  Provision reviewed annually by Clerk (RFO) and insured
Banking Arrangements	Regular bank reconciliations  All payments in line with Financial Regulations	Regular monitoring reports to Council.  Annual Internal and External Audit
Loss of Income, or the need to provide essential services	Reserve in the budget	Level agreed as part of annual risk assessment process

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Ensuring all requirements are met under Customs and Excise regulations (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
<b>Risk Description</b>	<b>Measures Taken</b>	<b>Recommendations/Controls</b>
Ensuring all business activities are within legal powers applicable to local council	Councillor and staff training General Power of Competence	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 Annual Accounts	NALC annual notification of permitted level of expenditure  Annual Internal Audit / External Audit  Grant application pack published - agreed and monitored.
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 so 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 each agenda considered for taking in private session with resolution to exclude the public

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**Pucklechurch**



Proper, timely and accurate reporting of Council business in minutes	Minutes properly numbered with a master copy kept in safekeeping  Draft minutes published on website  Minutes circulated and published on website	Minutes approved and signed at next meeting of Council  Internal Audit check  Computer backup
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<b>Risk Description</b>	<b>Measures Taken</b>	<b>Recommendations/Controls</b>
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  Accounts published  Draft budget available for consultation  Freedom of Information Publication Scheme	Notice of Appointment confirmation signed and returned to Auditors
Document control – correspondence, postage, storage and filing, etc.	Correspondence date receipted  Original deed documents stored with Solicitor  Filing systems maintained in metal cabinets.	Documents backed up on-line, and 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**

<b>Risk Description</b>	<b>Measures Taken</b>	<b>Recommendations/Controls</b>
Land and Allotments  Health and Safety	Appropriate legal agreements Signing of Lease/Agreement	Allotment holders notified of safe operating practices.  Professional risk assessors to oversee the Council's health & safety arrangements and offer advice on improvements.  Review allotment site against detailed Risk Register annually
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 proposed by Working Party, ratified by Council  Copy of insurance certificate supplied before award of contract  Require contractors to provide risk assessments

**The above schedule was adopted by Pucklechurch Parish Council on 7<sup>th</sup> June, 2017 item 9d 3.**

<sup>i</sup> 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