

**THROWLEIGH PARISH COUNCIL – RISK ASSESSMENT**

Prepared by K Graddock, Parish Clerk. May 2024

Subject	Risks identified	Risk Score H/M/L	Management/control of risk	Review date/Reassessment/Action
<b>Business continuity</b>	Council not being able to continue its business due to an unexpected or tragic circumstance	M	All files and records kept at the Clerks Home. Currently no separate back up. In the event of the clerk being indisposed, the Chairman holds the details of the website and email login and to contact DALC for a list of Locum Clerks	Review in 12 months.
<b>Meeting location</b>	Adequacy and Health and Safety	M	The small room being used normally. This could be difficult to exit in the event of a fire, given the size of the room and number of people inside. Door key is held by the Clerk. The Main Hall is considered to be adequate for clerk, councillors and any public who attend from a health, safety and comfort point of view.	There are no fire procedures in place at the Village Hall. Review in 12 months.
<b>Council records</b>	Loss through theft, fire or damage	M	Current papers held at Clerks address in metal filing cabinet. Historic Minutes are kept at Clerks home address.	Review in 12 months.
<b>Council records electronic</b>	Loss through damage, fire, corruption of computer	M	The Council's records from January 2020 are stored on the Council's computer. Previous records are all paper copies.	Review in 12 months.
<b>Precept</b>	Adequacy of Precept	L	Sound budgeting to underline annual precept. The Parish Council receives banking information at each meeting, budget updates and an agenda item is placed on the January Agenda to set the Precept	Existing procedures adequate.

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<b>Insurance</b>	Adequacy	L	An Annual Review is undertaken of all insurance arrangements in place. Employers liability, public liability and fidelity guarantee are a statutory requirement.	Existing procedures adequate and council has 3 year agreed agreement with community first insurance. Review in 12 months.
<b>Banking</b>	Inadequate checks	M	The Council should have Financial Regulations which set out the requirements for banking, cheques and the reconciliation of accounts. Accounts are annually reviewed by internal and external auditor.	
<b>Cash</b>	Loss through theft or dishonesty	L	No petty cash is held. Any cash transactions made by the Clerk are fully receipted and then reimbursed through expenses at each meeting	Existing procedure adequate.
<b>Financial Controls and records</b>	Inadequate checks	L	Reconciliation records completed by the Clerk. Two signatures required for cheques and all banking requirements. Internal and External audit takes place. Any financial obligation must be resolved and clearly minuted before any commitment. All payments must be resolved and clearly minuted.	Council looking at internet banking procedures.
<b>Freedom of Information Act</b>	Policy Provision	H	The Council requires a Policy to deal with legislation.	Council to adopt a Freedom of Information Policy by September 2024.
<b>Clerk</b>	Loss of Clerk, Fraud Actions	L	The requirements of fidelity insurance guarantee must be adhered to. Clerk should be provided with adequate training, reference books, access to assistant and legal advice.	Membership of DALC and SLCC maintained.  Current procedure is adequate.
<b>Election</b>	Risk of Election Cost	L	Risk is higher in election year. There are no measures which can be	Include in next financial budget.

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			adopted to minimise the risk of a contested election. A contingency fund should be kept to meet these possible costs.	Current measures adequate.
<b>VAT</b>	Re-claiming/re-charging	M	No financial regulations. VAT reclaims should take place annually.	VAT reclaims to be submitted. VAT was so small in 2022/23 that Clerk will submit along with 2023/24.
<b>Annual Return</b>	Not submitted within the time limit	L	Annual return is completed and signed off by the Council and submitted to the internal auditor for completion and signing, then checked and sent to the External Auditor.	Adequate measures in place.
<b>Assets</b>	Asset register up to date and insurance covers items	M	Clerk completed Asset Register	Review at each annual PC meeting.
<b>Legal Powers</b>	Illegal activity or payments.	L	All activity including payments made within the powers of the Parish Council to be resolved and clearly minuted.	Adequate measures in place.
<b>Minutes/Agendas/Statutory documents</b>	Accuracy and legality – non-compliance with statutory requirements	L	Minutes and Agendas are produced in the prescribed method by a Qualified Clerk. Minutes are approved and signed at the next meeting. Minutes and Agendas are displayed according to legal requirements. Business conducted at Council meetings is managed by the Chairman.	Existing procedures adequate. Councillors to adhere to the Code of Conduct.
<b>Public Liability</b>	Risk to third party, property or individuals	L	Insurance is in place. Risk Assessment of any individual event undertaken.	Existing procedure adequate.
<b>Employer Liability</b>	Non-compliance to Employment Law	L	Undertake adequate training and seek advice from DALC or SLCC where necessary.	Existing procedure adequate.

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<b>Legal Liability</b>	Legality of activities	L	Clerk to clarify legal position on proposals and seek advice if necessary. Council always receives and approves meeting minutes.	Existing procedure adequate.
<b>Members interests</b>	Conflict of Interest Register of Members interests	L	Councillors have a duty to declare any interest at the start of the meeting. Register of Members interests form to be reviewed on an annual basis.	Existing procedure adequate. Members to take responsibility to update their register regularly.

Signed: \_\_\_\_\_

Dated: \_\_\_\_\_

Next Review Date: May 2025