**Dyrham & Hinton 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.,  Village Orderly RoSPA and defibrillator supplier trained  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 and defibrillators checked by VO on a weekly basis and faults reported to Clerk (RFO) and suppliers  Annual RoSPA inspection of Play Equipment |
| Protection of Council properties furniture and equipment | Property Damage Insurance  All Risks Insurance  Up to date Asset Register  Regular Maintenance of equipment / Annual PAT Testing of electrical small appliance | Annual check on insurance values Clerk (RFO)  Asset Register (Year-end)  Use of professional technician, use of reputable insurance provider, and testing carried out annually 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 contracts of employment | Thorough vetting process of job applicants, references taken up and annual staff reviews |
| 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)  Clerk and Village Orderly – i-phones provided  Diagram & instructions given re safety procedures re use of supplied equipment |

**AREAS OF SELF MANAGED RISK**

|  |  |  |
| --- | --- | --- |
| **Risk Description** | **Measures Taken** | **Recommendations/Controls** |
| Damage to and safety of seats, bins and fencing etc., | Regular maintenance by Village Orderly to be undertaken | Councillors requested to keep a check on PC owned equipment and to report any problems to Clerk (RFO).  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  Detailed specification for soliciting an Annual Internal Auditor[[1]](#endnote-1)  Annual External Audit  Officer training |
| **Risk Description** | **Measures Taken** | **Recommendations/Controls** |
| 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   * Hardware   Software | Virus protection  Clerk (RFO) authorised for emergency replacement | Regular updates of virus protection  Regular computer backups are made on external hard drive and online.  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 budget process |
| 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 |
|  |  |  |
| **Risk Description** | **Measures Taken** | **Recommendations/Controls** |
| 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 Annual Accounts | NALC annual notification of permitted level of expenditure  Annual 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 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 |
| 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 |
|  |  |  |

|  |  |  |
| --- | --- | --- |
| **Risk Description** | **Measures Taken** | **Recommendations/Controls** |
| 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 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**

|  |  |  |
| --- | --- | --- |
| **Risk Description** | **Measures Taken** | **Recommendations/Controls** |
| Land and Allotments | 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. |
| 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 adopted by Dyrham & Hinton Parish Council on 18th May 2023**

1. 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

   [↑](#endnote-ref-1)