

Little Berkhamsted Parish Council Risk Assessment March 2016

Subject	Risk(s) identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Financial records	Inadequate records Financial irregularities	L L	Financial Regulations set out requirements	Financial regulations to be revised and presented to March 2016 Council meeting
Grants	Failure to seek, secure and spend grants	L	Financial information is a regular agenda item (Finance) and discussed/reviewed and approved at each meeting	Existing procedure adequate
Rents - from cottage	Failure of tenant to pay rent	L	Tenant pays monthly by standing order Any missed / delayed payments to be reported by Clerk	Existing procedure adequate
Grants and support payable	Power to pay/ Authorisation of Council to pay	L	All such expenditure goes through the required Council process of approval, minuted and listed accordingly	Existing procedure adequate
Best Value accountability	Work awarded incorrectly Overspend on services	L M	Financial regulations cover orders for work, goods and services and contracts.	Financial regulations to be revised and presented to March 2016 Council meeting
Salaries and associated costs	Salary paid incorrectly Unpaid tax to HMRC Failure of payroll agents	L M M	Outsource payroll administration to suitable agent Payments are made direct by Council to HMRC	Increase monitoring of payroll agents
VAT	Reclaiming/charging	M	Financial regulations to set out requirements	Financial regulations to be revised and presented to March 2016 Council meeting
Annual Return	Submit within time limits	L	Annual Return is completed and submitted within the prescribed time frame by the Clerk. Annual Return completed and signed by the Council, submitted to internal auditor for completion and signing then checked and sent to External Auditor	Existing procedure adequate

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Legal Powers	Illegal activity or payments	L	All activity and payments within the powers of the Parish Council to be resolved at full Council Meetings, under the Finance section of agenda monthly.	Existing procedures adequate
Minutes/agendas/ Notices Statutory Documents`	Accuracy and legality	L	Minutes and agenda produced in prescribed manner by the Clerk according to the legal requirements. Minutes are approved and signed at the next Council meeting.	Existing procedures adequate
	Conduct of business	L	Business conducted at Council meetings should be managed by the Chair.	Members adhere to Code of Conduct
Members interests Existing procedures adequate.	Conflict of interests	L	Declarations of interest by members at Council meetings	Existing procedures adequate
	Register of members interests including gifts and hospitality	M	Register of members interests forms reviewed regularly	Members take responsibility to update register.
Insurance	Uninsured risks, limits too low, exclusions, compliance with conditions of cover	M	Insurance obtained from specialist provider Insurance reviewed annually Cover in place includes Public & Employer Liability, Property loss & damage (?)	Existing procedure adequate.
Data protection	Policy provision	L	The Parish Council is registered with the Information Commissioner's office	Check registration and annual renewal
Freedom of Information	Policy provision	L	Website outlines information that is available from the Parish council. The Parish Council is aware that if a substantial request came in it could create a number of additional hours work. The Parish Council can request a fee to supplement the extra hours	Website information to be updated to show contact details for new Clerk. Monitor any requests under FOI.

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Employer responsibilities	<p>Policy provision</p> <p>Health and safety</p>	<p>L</p> <p>L</p>	<p>One part-time employee. Comply with Employment Law in regard to contract and employment practice.</p> <p>Lone worker (clerk) has telephone and internet available.</p> <p>Meetings held in Village hall.</p>	Existing procedures deemed adequate
Transparency and Accountability	Policy provision	L	The Transparency Code for Smaller Authorities should be adopted in accordance with the Local Audit and Accountability Act 2014.	To be adopted at March 2016 meeting
Assets	<p>Loss or damage</p> <p>Risk/damage to third party (ies) property</p>	<p>L/M</p> <p>L/M</p>	<p>Recreation ground inspected regularly and maintained by Cricket Club.</p> <p>Village Hall fire risk assessment carried out and documented – fire extinguishers checked annually, electrical survey carried out every 5 years</p> <p>Buildings maintained as required</p> <p>Village Hall hiring agreement sets out terms of hire and responsibilities. Recreation Committee has public liability insurance to cover claims by hirers.</p> <p>Written agreement between Parish Council, Recreation committee and Cricket Club setting out terms of use and requiring Club to maintain comprehensive insurance and provide details to the parish council annually.</p> <p>Annual checks of playground made by a qualified specialist.</p> <p>War memorial repaired as required</p>	Existing procedures deemed adequate.

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			<p>Key holders – restricted list</p> <p>Caretaker lives adjacent to hall and checks daily.</p> <p>Notice Board - No formal inspection procedures are in place but any reports of damage or faults are reported to the Parish Council and dealt with in accordance of the correct procedures of the Council.</p> <p>Asset register reviewed annually</p> <p>Insurance - reviewed annually and covers public liability and property risk.</p>	
<p>Council records- paper</p> <p>Electronic</p>	<p>Loss through:</p> <ul style="list-style-type: none"> - Theft - Fire <ul style="list-style-type: none"> - Theft - Fire - Corruption of computer 	<p>L</p> <p>L</p>	<p>Some paper records stored by the Clerk at home – home is fitted with hard wired fire/burglar alarms.</p> <p>The Parish Council electronic records are stored on the Clerk’s personal PC with backups of electronic data being made at regular intervals.</p>	<p>Existing procedures are deemed adequate</p>
<p>Business Continuity</p>	<p>Council not being able to continue business due to tragic or unexpected circumstance</p>	<p>M</p>	<p>In the event of the clerk not being able to attend the meeting, papers will be emailed to one of the councillors who will stand in for the clerk and take the minutes the meeting</p>	<p>Basic business continuity plan to be drawn up.</p>

Approved by Little Berkhamsted Parish Council at its meeting on 23rd March 2016

Review date March 2017