SWIMBRIDGE
PARISH COUNCIL

This document has been produced to enable the Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them. In conducting this exercise, the following plan was followed:

- Identify the areas to be reviewed.
- Identify what the risk may be.
- Evaluate the management and control of the risk and record all findings.
- Review, assess and revise if required.

FINANCE AND MANAGEMENT				
Subject	**Risk(s) Identified**	**H / M / L**	**Management/Control of Risk**	**Review/Assess/Revise**
Business continuity	Risk of Council not being able to continue its business due to an Unexpected or tragic circumstance	L	All files and recent records are kept at the Clerk's home. The Clerk makes regular back-ups of files. In the event of the Clerk being indisposed the Chair to contact the Devon Association of Local Councils for advice.	Existing procedures adequate. Review scope for sharing information including passwords
Precept	Adequacy of precept in order for the Council to carry out its statutory duties	L	To determine the precept amount required, the Council regularly received budget update information. At the Precept meeting Council receives a budget report, including actual position and projected position to the end of the year and indicative figures or costings obtained by the Clerk. With this information Council maps out the required monies for standing costs and projects for the following year and applies specific figures to budget headings, the total of which is resolved to be the precept amount to be requested from North Devon Council. The figure is submitted by the Clerk. The Clerk informs the Council when the monies are received.	Existing procedure adequate.
Financial records	Inadequate records Financial irregularities	L L	The Council has Financial Regulations that set out requirements and expectations. The Council has appointed an independent internal auditor to review processes.	Existing procedure adequate. Review the Financial Regulations when necessary.
Bank and banking	Inadequate checks Bank mistakes	L L	The Council has Financial Regulations that set out the requirements for banking, cheques and reconciliation of accounts. The Clerk reviews the Council's banking arrangements regularly. The Clerk has electronic access to view Council Bank statements etc.	Existing procedure adequate. Review the Financial Regulations regularly and bank signatory list when necessary, especially after an AGM and an election. Monitor the bank statements monthly.
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 if a payment is made using the S137 power of expenditure.	Existing procedure adequate. Parish Councillors request a copy of S137 rules if required.

Best value Accountability	Work awarded incorrectly Overspend on services	L M	Normal Parish Council practice would be to seek if possible, more than one quotation for any substantial work required to be undertaken or goods. For major contract services, formal competitive tenders would be sought. If a problem is encountered with a contract the Clerk would investigate the situation, check the quotation/tender and report to the Council.	Existing procedure adequate. Review Financial Regulations regularly.
Salaries and assoc. costs	Salary paid incorrectly Wrong deductions of NI or Tax Unpaid Tax & NI contributions to HMRC	L L L	Payroll services are provided by North Devon Council	Existing system adequate.
Election costs	Risk of an election cost	L/M	The risk is higher in an election year. There are no measures which can be adopted to minimise the risk of having an election as this is a legal requirement democratic process. Sufficient reserves in place to cover this.	Existing procedure adequate.
VAT	Re-claiming/charging	L	The Council has Financial Regulations that set out the requirements.	Existing procedure adequate
Annual return	Submit within time limits	L	Annual Return is completed and signed by the Council, submitted to the internal auditor for completion and signing then checked and sent on to the External Auditor within the time limit. Regular reports to Council on timescales and requirements.	Existing procedures adequate.
Legal powers	Illegal activity or payments	L	All activity and payments within the powers of the Parish Council to be resolved and minuted at Full Parish Council Meetings.	All activities and payments recorded and minuted
Council records - paper	Loss through: theft fire damage	 L M L	The Parish Council records are stored at the home of the Clerk. Older records including historical correspondence, minutes, insurance and Bank records. The documents are stored in a lockable metal fireproof cabinet.	Damage and theft is unlikely so existing provision is adequate.
Council records - electronic	Loss through: Theft, fire, damage Corruption of computer	 L M	The Parish Council's electronic records are stored on the Council's laptop at the Clerk's home. Backups of the files are taken at regular intervals onto a cloud account and an external hard drive.	Existing procedure adequate.
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L M	An annual review is undertaken (before the time of the policy renewal) of all insurance arrangements in place. Ensure compliance measures are in place. Ensure Fidelity checks are in place.	Existing procedure adequate. Review insurance provision annually. Review of compliance.
Data protection	Policy Provision	L	The Council is registered with the Data Protection Agency	The Council review Registration regularly

<u>ASSETS</u>				
Subject	**Risk(s) Identified**	**H / M / L**	**Management/Control of Risk**	**Review/Assess/Revise**
Noticeboards	Risk of damage	L L	The Council currently has one notice board. There is insurance cover, but no formal inspection procedures are in place - any repairs/maintenance requirements are brought to the attention of the Parish Council. The key is held by the Clerk.	Existing procedure adequate.
Play Park Equipment	Risk/damage/injury to third parties Fall from heights Loss through:	M M L	The Council has multiple pieces of play equipment located on the Glebe field. They are all insured and inspected weekly by the District Council inspection team. Any repairs/ maintenance that is required is brought to the Parish	Existing procedures are adequate.

	Damage, fire		Council meeting to be scheduled and mended. Additionally this is monitored yearly by ROSPA	

LIABILITY				
Subject	**Risk(s) Identified**	**H / M / L**	**Management/Control of Risk**	**Review/Assess/Revise**
Legal Powers	Illegal activity or payments	L	All activity and payments made within the powers of the Parish Council and to be resolved and minuted.	Existing procedure adequate.
Minutes/Agendas/ Notices/Statutory documents	Accuracy and legality Business conduct	L L	Minutes and agenda are produced with the prescribed method by the Clerk and adhere to the legal requirements. Minutes are approved and signed at the next Council meeting. Minutes and agenda are displayed according to the legal requirements. Business conducted at Council meetings managed by the Chair.	Existing procedure adequate. Members to adhere to Code of Conduct.
Public Liability	Risk of third party, property or individuals	M	Insurance is in place. Risk assessments regularly carried out to comply with the requirements.	Existing procedures adequate. Ensure risk assessments are carried out.
Employer Liability	Non-compliance with employment law	L	Undertake adequate training and seek advice from the Devon Association of Local Councils.	Existing procedures adequate.
Legal Liability	Legality of activities Proper and timely reporting via Minutes Proper document control	M L L	Clerk to clarify legal position on proposals and to seek advice if necessary. Council always receives and approves Minutes of monthly meetings. Retention of documents follows the guidelines.	Existing procedures adequate.

COUNCILLORS' PROPRIETY				
Subject	**Risk(s) Identified**	**H / M / L**	**Management/Control of Risk**	**Review/Assess/Revise**
Members interests	Conflict of interest Register of Members' interests	M M	Councillors have a duty to declare any interests at the start of the meeting. Register of Members Interest forms to be reviewed regularly by Councillors.	Existing procedure adequate. Members to take responsibility to update their Register.