

Rossett Community Council – Risk Assessment 2016/17

Definition of Risk Management Risk is the threat that an event or action will adversely affect an organisation’s ability to achieve its objectives and successfully execute its strategies. Risk Management is the process by which risks are identified, evaluated and controlled. It is a key element of the framework of governance together with community focus, structures and processes, standards of conduct and service delivery arrangements.

This document has been produced to enable the Community Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them.

The approach taken for risk management is as follows: -

- Identify the areas to be reviewed
- Identify what the risks maybe
- Evaluate the management and control of risk and record findings
- Review, assess and revise as necessary.

FINANCIAL AND MANAGEMENT

Subject	Risk Identified	H/M/L	Management/control of risk	Review/assess/revise
Business Continuity	Council not being able to continue business due non-availability of clerk to organise meetings and oversee council business	M	Files and records are kept at the clerk’s house. In the event of the clerk not being able to attend the meeting these are collected by one of the councillors. Minutes would be taken by one of the councillors in attendance. For longer term absences cover arrangements would need to be implemented and we are in contact with other local clerks to provide cover	Consider a basic Business Continuity plan (a requirement under the Civil Contingencies act 2004) Ensure all council processes are followed
Insurance	Adequacy of cover Cost Compliance	L L L	Annual review of policy undertaken prior to renewal Employer and employee liability is essential Ensure Compliance processes are in place	Review cover annually Review Compliance annually
Data Protection	Policy	L	Council is registered with the Information Commissioners Office	Ensure Annual renewal of registration

Subject	Risk Identified	H/M/L	Management/control of risk	Review/assess/revise
Freedom of Information Act	Policy Responding to requests	L M	The Council has a model publication scheme for local councils in place.	Monitor and report impact of requests made under freedom of information
Meeting location	Adequacy - Health and safety	L	Meetings are held on the 3rd Wednesday of the month at the Presbyterian Church meeting room. Health and Safety is considered adequate.	Existing procedure adequate
Council Records Paper	Loss through theft, Fire and Damage	L	Papers current and archived are securely stored at the clerk's home in a metal cabinet.	Damage or theft unlikely. Provision is considered adequate.
Councils electronic Records	Loss through damage, fire or corruption of Computer	M	Records are stored on a computer that was purchased for the clerk. Back up files are kept on a USB stick, 'offsite' by the Chair or Vice Chair	Existing procedure is adequate
Precept	Adequacy of precept	M	Sound budgetary management arrangements are in place and reserves are maintained to fund any extraordinary items not covered by the precept.	Finance sub-committee established and monthly budget update is reported at all Council meetings.
Banking	Bank Account discrepancies	L	Council's financial regulations set out the requirements for Banking and cheque reconciliations.	Existing procedure is adequate

Subject	Risk Identified	H/M/L	Management/control of risk	Review/assess/revise
Cash	Loss through theft or dishonesty	L	Council has no petty cash or float. Any transactions by the clerk are fully backed up by receipts and reimbursed monthly.	Existing procedure is adequate
Financial Control and records	Inadequate checks	L	Monthly reconciliations. 2 Signatures on each cheque, initialled cheque stub and initialled invoices to validate the amount being spent. All Financial commitments must be agreed by councillors before payment. Section 137 Payments must be noted as such at the time of authorisation and recorded as such at that time.	Existing procedure is adequate
VAT	Reclaiming / Charging	L	The council has procedures for claiming VAT	Existing procedure is adequate
Annual return	Not submitted within the time limit	L	Annual return completed and signed by the council, submitted to the internal auditor for completion. Checked and sent on to the external auditor.	Existing procedure is adequate
LIABILITY				
Legal powers	Illegal activity or payments	L	All activities and payments made within the powers of the Community Council, resolved and clearly minuted.	Existing procedure is adequate.
	Working parties taking decisions	L	Establish Clear terms of reference	Powers should be minuted. Monitor on a monthly basis

Subject	Risk Identified	H/M/L	Management/control of risk	Review/assess/revise
Minutes, Agendas and standing documents	Accuracy and legality	L	Minutes and agendas are produced in the prescribed method and adhere to legal requirements. Minutes are approved and signed off at the next meeting. Minutes and agendas are displayed according to legal requirements.	Existing procedure is adequate. Undertake training of chair if needed
	Non Compliance with Statutory requirements	L	Business conducted at the council is managed by the chairman	Ensure councillors adhere to the code of conduct.
Public liability	Risk to third party property or individuals	M	Insurance is in place, risk assessments of individual events is undertaken	Existing procedure is adequate.
Employer liability	Non Compliance with employment law	L	Undertake training and seek advice when needed	Existing procedure is adequate.
Legal Liability	Legality of activities	M	Clerk Clarifies the legal position and takes advice when needed	Existing procedure is adequate. Consider if this policy is needed
	Proper and timely reporting via minutes	L	Council receives and agrees minutes at monthly meetings	
	Proper document control	L	Retention of documents policy in place	
Members interests	Conflict of interest	M	Councillors have a duty to declare any interest at the start of the meeting and formally write this in the statement of interest book. Register of interests forms should be reviewed annually	Existing procedure is Adequate, whereby Councillors are reminded of this duty at the start of every meeting . Members to let clerk know of any changes
		M		

Assets

Subject	Risk Identified	H/M/L	Management/control of risk	Review/assess/revise
Assets	Loss or damage/risk/damage to third parties or to property	L	An asset register is kept up to date and insurance is held at the appropriate level for all items. Regular checks are made on all equipment by members of the council or council employees within the scope of their job.	Existing procedure is adequate.
Maintenance	Poor performance of assets or amenities.	L	All assets are owned by the Community Council are regularly reviewed and maintained.	Existing procedure is adequate.
	Loss of income or performance	L	All repairs and relevant expenditure for these repairs are authorised in accordance with Community Council procedures.	
	Risk to third parties	L	All assets are insured annually	
Notice boards	Risk / damage/ injury to third parties road side safety	L	Community Council has 2 notice boards. 1. Car Park, Station Road. 2. The Recreation Ground. Each is regularly visited by the clerk who holds the keys.	Existing procedure is adequate.
Street furniture	Risk / damage/ injury to third parties road side safety	L	All street furniture is clearly identified in the asset register, it is regularly inspected and maintained and the is £10,000,000 of Public Liability insurance to cover 3 rd party accident / injury	Existing procedure is adequate.
Recreation Grounds and Equipment	Injuries to third parties using recreation grounds and equipment		The Recreation Grounds and equipment are clearly identified in the asset register. They, are regularly inspected and maintained and the is £10,000,000 of Public Liability insurance to cover 3 rd party accident / injury	Existing procedure is adequate

Rossett Community Council – Risk Assessment Schedule

ITEM	FREQUENCY OF REVIEW/INSPECTION	LAST REVIEWED	COMMENTS
Community Council Insurance including Public and employers liability Money and fidelity guarantee Personal Accident	Annually	May 2016	Some small increases to specific asset cover required. No major deficiencies
Assets Inspection	Annually	Required	
Recreation Grounds and Equipment	Monthly	Required	
Financial Matters Banking arrangements Insurance providers VAT Return Completed Budget agreed, Monitored and reported Precept requested Payment approval procedure Bank Reconciliation overseen by Finance Sub-Committee	Annually Annually Annually Monthly Annually Annually Ongoing	April 2016	New Financial Regulations Adopted

Internal Audit	Annually	April 2016	New internal procedures adopted
External audit	Annually		
Internal check of financial procedures	Annually		
Administration			
Minutes properly numbered	Ongoing		
Asset register available/ updated	Ongoing		
Financial regulations reviewed	Annually	April 2016	New financial regulations adopted
Standing orders reviewed	Annually	May 2016	New Standing Orders proposed
Back up taken of computer records	Monthly	Required	
Employers responsibilities			
Employees terms and conditions	Annually	Required	
Performance reviews	Annually	Required	
Contract of employment in place	Ongoing	May 2016	To be adopted May 2016 meeting
Contractors indemnity insurance	Ongoing	May 2016	
Written arrangements with contractors	Ongoing	April 2016	

Members responsibilities			
Code of conduct adopted	Ongoing	May 2016	New Code of conduct proposed for adoption
Register of interests completed and updated	Ongoing	Required	
	Ongoing	Required	
Register of gifts and hospitality up to date	Ongoing	Required	
Declarations of interests minuted	Ongoing	Required	

The information given above was agreed on 18th May 2016 and will be agreed annually by Rossett Community Council

Signed

Dated

Chairman

Clerk