

Bardon Mill Parish Council Risk Assessment 2023

| FINANCIAL & MANAGEMENT | | | |
|--|--|---|---|
| SUBJECT | RISK(S) IDENTIFIED | MANAGEMENT/CONTROL OF RISK | REVIEW/ASSESS REVISE |
| Precept | Adequacy of precept | Sound budgeting to identify cash needs. The precept is an agenda item at the December council meeting. At the meeting the council receive a budget update report and cashflow projection for the following financial year. With this information the Council maps out the required monies for standing charges and agreed projects. The figure is then submitted to N C C by the clerk. The clerk informs the council when the payments are received usually April and September. | Existing procedure adequate |
| Financial Records | Inadequate records. Financial irregularities | The Council has Financial Regulations which set out the requirements. Internal Audits carried out. | Existing procedures adequate. Review the Financial regulations when necessary. |
| Bank & Banking | Inadequate checks. Bank mistakes Loss. Charges | The Council has Financial Regulations which set out the requirements for banking. Cheques require two signatories and accounts are presented at each Council meeting. Any bank errors are identified by the Clerk and dealt with immediately by informing the bank and Chair. | Existing procedures adequate. Review the Financial regulations when necessary. Review the bank signatory mandate especially after an AGM and an election. Monitor the bank statements monthly |
| Reporting & Auditing | Information Communication | A monitoring statement is produced before each Council meeting. This statement includes bank reconciliation, budget update and a breakdown of receipts and payments. | Existing communication procedures adequate |
| Direct Costs | Incorrect invoicing. Cheques paid incorrectly | At each Council meeting the Council approves the list of requests for payment. Two signatures are required on all cheques and invoices presented with the cheque | Existing procedures adequate. Review the Financial regulations when necessary. Due to Covid, members have not been able to check these records. A member has inspected the cashbook, invoices and bank statements to ensure all is correct. |
| Grants & support payable | Power to pay. Authorisation of Council to pay | All requests go through the required Council process for approval, minuted and listed accordingly. | Existing procedure adequate |
| Clerk | Fraud. Actions undertaken | The requirements of the Fidelity Guarantee to be adhered to. Clerk should be provided with adequate, relevant training, reference materials and access to assistance and legal advice. | Existing procedure adequate. Continue membership to NALC |
| VAT | Reclaiming | The Council has Financial Regulations which set out the requirements. VAT to be reclaimed annually. Clerk to monitor on an ongoing basis. | Existing procedure adequate |
| Annual Return | Submission within time limits | Annual Return is completed and signed by the Chair, submitted to the internal auditor for completion and signing. It is then published on the website. | Existing procedure adequate |
| Insurance | Adequacy. Cost. Compliance. Fidelity Guarantee | An annual review is undertaken of all insurance arrangements in place prior to renewal. Employers Liability, Public Liability and Fidelity Guarantee are a statutory requirement. | Existing procedure adequate. Review provision and compliance annually. |
| Freedom of Information Act | Policy & provision | The Council has adopted the model publication scheme for Local Councils. There have been no requests for information to date but the Council are aware that such requests may require additional hours of work. | Monitor and report any impacts of requests under the Freedom of Information Act. |
| PHYSICAL EQUIPMENT OR AREAS | | | |
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| Council Records - paper | Loss through: theft, fire, damage | The Parish records are stored at the home of the Clerk. Records include historical correspondence, minutes and financial information. Minutes are stored at woodhorn and scanned copies of signed minutes are kept digitally by the clerk. | Damage (apart from fire) and theft is unlikely and so provision is adequate. |
| Council Records - electronic | Loss through: theft, fire, damage, corruption of computer | The Parish Council's electronic records are stored on the Council's hard drive. Back ups of files are taken at regular intervals. | Back up of electronic files produced regularly and stored in metal cash box. |
| Public Seating | Asset not fit for purpose, potential risk to public | The Parish Seats and Benches have been inspected and a photographic record taken. A program of remedial works has been undertaken to restore all benches. Annual maintenance inspections are undertaken | Existing procedure adequate |
| Bus Shelter | Asset not fit for purpose, potential risk to public | An inspection is carried out on a quarterly basis and any repairs needed reported at the Council meetings and quotes are obtained and contractors instructed promptly | Existing procedure adequate |
| Bin Store | Asset not fit for purpose, potential risk to public | An inspection is carried out on a quarterly basis and any repairs needed reported at the Council meetings and quotes are obtained and contractors instructed promptly | Existing procedure adequate |
| Roads & Verges | Hedges, grass, shrubs causing a visual or physical obstruction | An inspection of all parish roads is carried out annually and hazards to pedestrians and motorists identified. An external contractor is then instructed to cut back identified areas. | Existing procedure adequate |
| War Memorial | Asset not fit for purpose, potential risk to public | An external contractor is employed to keep the area tidy and maintained. Any defects needing attention to be reported and acted upon accordingly. | Existing procedure adequate. Trees were Risk assessed in 2019 and action taken. Memorial was valued and insurance covered |
| Clerk's Home Office | Screen use, Lighting, cabling | Clerk to carry out Assessment | Existing Procedure Adequate |
| Trees on Memorial Ground | Potential risk with old and diseased trees | Annual Risk Assessment and recommendations undertaken | Assessment carried out 2019 |
| Brush cutter | Potential risk to operator, public or passing vehicles. Damage to roadside structures. | Ensure operator has own insurance and certificates for use and it is regularly maintained and serviced. | Operator to report any incidents or dangerous occurrences to the Council. |
| LIABILITY | | | |
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| Legal Powers | Illegal Activity or payments | All activity and payments within the powers of the Parish Council to be resolved and minuted at Parish Council Meetings. | Existing procedure adequate |
| Minutes/Agendas/Notice Statutory Documents | Accuracy and legality. Non-compliance with statutory requirements. Business Conduct | Minutes and Agendas are produced in the prescribed method by the Clerk and adhere to the legal requirements. Minutes are approved and signed at the next Council meeting. Minutes and Agendas are displayed according to legal requirements. Business conducted at Council meetings should be managed by the Chair. | Existing procedure adequate. Undertake adequate training. Members to adhere to Code of Conduct. |
| Members Interests | Conflict of interest. Register of members interests | Councillors have a duty to declare any interest at the start of the meeting. Register of members interest forms to be reviewed at least annually. | Existing procedure adequate. Members take responsibility to update their register. |

The information above was agreed at the 14th February 2023 meeting of Bardon Mill Parish Council and will be agreed annually as per MIN Ref.

Signed
Chairman Dated

Clerk Dated