

Iwerne Courtney & Stepleton Parish Council
 Risk Assessment and Management Controls – April 2022

Parish Clerk note: **A Scheme of Delegation was adopted 18 March 2020 by Full Council. This enabled the democratic business of the Parish Council to continue under COVID-19 restrictions and regulations.**

Topic	Risk Identified	H/M/L	Management of Risk
Assets	Loss or damage to furniture and equipment owned by the Council Maintenance of assets	M	<ol style="list-style-type: none"> 1. Annual review of risk and the adequacy of insurance cover. 2. Insured annually, asset value is index linked with public and products liability of £10m; with regular inspections for maintenance purposes. 3. Annual physical checks of all registered Parish Council assets to be visually checked by nominated members of the Parish Council.
	Third party liability, including those associated with owning the Glebe. Play Area equipment injury	M	<ol style="list-style-type: none"> 1. Insurance cover with public and products liability of £10m. 2. Policy for Glebe trees, local monthly inspections and annual inspection of Lombardy Poplar trees with TPO533/2015 and working from the current Dorset Council Arboricultural Inspection report 22 June 2021. 3. Jubilee Bridge inspection reporting not currently in operation. 4. Glebe Users Guide – reviewed March 2022 and to be ratified and adopted by the PC April 2022. 5. Annual Independent Play Area Inspection Report to be acted on. 6. No support for regular monthly inspections by village volunteers to substantiate professional inspection.
Finance	Insurance cover	L	<ol style="list-style-type: none"> 1. Parish Council currently insured with BHIB – Local Councils Policy Master Number LCO02195 enquiries@bhibcouncils.co.uk 2. Council in 3-year LTA agreement with BHIB insurance from 8 June 2021 – 7 June 2024. 3. Property & Fixed Assets Log March 2022 maintained by Clerk and updated as appropriate on purchase or requisition of assets/property.

	Employee Dishonesty Loss of cash through theft or dishonesty	L	<ol style="list-style-type: none"> 1. Two 6 monthly Internal auditor checks with annual audit and authorisations of payments 2. Fidelity guarantees £2,500. 3. No cash is held or taken by the Clerk.
	Banking services	L	<ol style="list-style-type: none"> 1. Revised Authority to Operate a Bank of Scotland Account – submitted and approved by PC 20/02/13 Item 9c (485). 2. Electronic mandate variation request form completed and approved by Bank of Scotland for 2 councillor signatures on cheques Item 10a (868). 3. Signatories from May 2016 – November 2021 requested to be removed from earlier signature mandate forms on 23 Nov 2021. 4. Monthly reconciliation of bank account receipts and payments completed by Clerk. 5. Monthly expenditure record tabled at meetings and signed by the Chairman for RFO retention 6. Internal auditor checks (2) during the year.
	Precept	L	<ol style="list-style-type: none"> 1. Full Council consideration and agreement of precept, all expenditure as discussed on agenda and subsequently minuted, with items and variations noted. 2. Councillors unable to be present at the final precept setting meeting are required to write confirming their agreement to precept being submitted.
	Grants (District Authorities & Funding Organisations)	L	<ol style="list-style-type: none"> 1. Applications procedures as instructed by funding authority, receipt of grant recorded, payment to suppliers authorised, account and minute record checks.
	Clerks salary	L	<ol style="list-style-type: none"> 2. Work time sheets and minute check with Chairman and Internal Auditor 3. HMRC for PAYE as an employee of the Parish Council. 4. All payments to the Clerk and HMRC authorised by Parish Council. The council unanimously supported the revised employment scale and adopted the joint recommendation in E01-20/ National Salary Award 2020 – 2021. The Clerk is on SCP 17 (new) 25 (old) at the hourly rate is £12.73 from 1 April 2020. Item 5c/814 18 November

	Clerks Pension rights		2020 and BN39/20 refer. Clerk's home costs were revised from £ 1.33 per month (pre 2006 figure) to £5 per month and were adopted & approved on 20 July 2016 Item 9b. The Clerk advised the council that she will not be recommending an increase in the costs for use of her computer equipment (£7 per month set pre-2006) until such time the Parish Council receive notice of her resignation. Consideration being determined for joining the Work Place Pension. Council to review situation on appointment of replacement Parish Clerk.
	VAT analysis, charges and claims	L	<ol style="list-style-type: none"> 1. All items recorded in payments book 2. VAT Returns now submitted electronically. 3. Clerk's most recent VAT Return submission - Item 10b/ 86g meeting 23 November 2021 refers.
	End of Year accounts	M	<ol style="list-style-type: none"> 1. All receipts and payments book shown in income and expenditure record and supported by bank statements, minutes and voucher log. 2. Clerk prepares a record of expenditure each month for the Chairman and council records. 3. Clerk to begin preparation of End of Year accounts on receipt of bank statement covering the period up 31 March.
	Internal Audit External Audit - AGAR	M	<p>Annual Return (audit) to include:</p> <ol style="list-style-type: none"> 1. End of Year Accounts – all account books and PC Minute Book 2. Reviewed and updated Asset & Property Register and Risk Assessment Conclusions 3. VAT Return, Receipt & Invoices, PAYE, bank statements and other supporting statements. 4. Transparency Code requirements for publication – minute 17 Feb 2016 Item 84 page 606 refers. 5. The Annual Internal Auditor Report and confirmation AGAR page 3 6. Governance Statement AGAR page 7. Accounting Statements, an analysis of variances and bank reconciliation plus information required by regulation 15(2) AAR 2015. 8. The period for the exercise of public rights need to be fully completed and published on the Parish website and noticeboard.

			<ol style="list-style-type: none"> 9. Completed AGAR to be displayed on parish website and noticeboard, together with Receipts & Payments page of the EOYAC. 10. Results of AGAR inspection to be published on the parish website and noticeboard. Clerk to retain original documents.
Administration and Employment A Scheme of Delegation was adopted 18 March 2020 by Full Council. This enabled the democratic business of the Parish Council to continue under COVID-19 restrictions and regulations. Council Standing Orders to be revised to include this emergency provision by September 2020.	<p>Business of the Council</p> <p>Training of the Council - Parish Council to acknowledge and attend training as necessary for role on the Parish Council</p>	L	<ol style="list-style-type: none"> 1. All documents maintained and stored by the Clerk on home insurance. 2. Periodic checks by internal supervisor documented and reported to Council. Limited need for fireproof container. Appropriate security and stowage with regular IT backup systems in place. The Clerk has access to an external hard drive. 3. Proper, timely and accurate reporting of council business in the minutes and agenda preparation. 4. Statutory Reviews, documents and reports circulated. 5. Disseminating and returning consultation papers and maintaining Council records as directed. 6. Training provision for the council – monthly enquiry. 7. Administration and community duties conducted as required.
	<p>Code of Conduct (Localism Act 2011 Section 7)</p> <p>SO & Financial Regulations.</p>	L L	<ol style="list-style-type: none"> 1. Adopted by Parish Council June 2022. 2. Revised electronic Register of Interests completed and submitted by all councillors (June 2021). 3. Council adopted revised Standing Orders July 2015 Item 4a page 580. Reviewed in April 2022 for adopting July 2022
The Parish Clerk	<p>Note: Contract of Employment with Job Description to include loss of key personnel, new Clerk – management of Parish website with annual review of employment contract.</p>	L L M M	<ol style="list-style-type: none"> 1. Adopted and approved by the PC July 2015 Item 4a page 580. 2. Risk monitored and managed through Chairman in consultation with Parish Council. 3. Parish Council and Dorset Council to advised of planned absences and resignation. 4. Public Liability Insurance, Parish Council Contract (specifying the required work), Method Statement, Risk Assessment as appropriate. 5. Reviewed Guide for users of the Glebe ratified and adopted by the council June 2022. Contract for Glebe Grass Cutting reviewed November 2019. Next review November 2022.

Grass Cutting Operatives	Adequate public liability and indemnity insurance for working on Glebe.		<ol style="list-style-type: none"> 1. Invoices recorded to substantiate any payment approval. 2. Operative's staff to be fully insured by employer. 3. Insurance details viewed by council member with Glebe responsibility 4. Glebe Grass Cutting Contract Nov 2019 – Nov 2022 placed on the on the parish website?
Self Help Volunteers	Parish Councillors - undertaking remedial work to assets, property, and facilities managed by the Parish Council.		<ol style="list-style-type: none"> 1. Proper consideration by volunteers to be given to all elements of self- help" work including an assessment of risk to the public, property, services and owned assets. 2. PC to consider competency of volunteers engaged on Parish Council activities or business (insurance aspects). 3. Council to consider any self-help work i.e. use of appropriate machinery, operative's competence/training to complete remedial work – particularly in light of the Dorset Council 'working together initiative.

Approved and adopted by the Parish Council

Chairman **Date**

Parish Clerk **Date**