

PUXTON PARISH COUNCIL – RISK ASSESSMENT

All risks are subject to ongoing review as appropriate and to annual review in February/March of each year

GD bvi

Subject	Risk Identified	H/ M/ L	Management/control of risk	Review/assess/revise
Business Continuity	Council not being able to continue business due to tragic or unexpected circumstance	M	Flies kept at clerk’s house. If the clerk does not attend a meeting relevant papers will be available to a councillor who acts as minute taker	Review as necessary
Insurance	Adequacy, cost and Compliance	L	Annual review of policy undertaken prior to renewal	Review compliance and cover annually
Council Records	Loss through theft, Fire and Damage	L	Papers are securely stored at clerk’s home or locked cabinet in Village Hall	Provision is considered adequate
Electronic Records	Loss via computer damage, fire or corruption	M	Computer records backed up on Apple iCloud and dedicated USB stick.	Existing procedure is adequate
Precept	Adequacy of precept	M	Sound budgetary control to back up the council’s annual budget Precept is an agenda item at the December and January meetings	Monthly budget update to the council
Banking	Inadequate checks	L	Annually reviewed Financial Regulations set out procedures and controls	Existing procedure is adequate
Cash	Loss through theft or dishonesty	L	Council has no petty cash. Expenses incurred are refunded via cheque/BACS	Existing procedure is adequate
Financial records	Inadequate checks or controls	L	Monthly reconciliations. Cheques validated by 2 signatures and initialled cheque stub. All spending is pre-agreed. All payments are minuted.	Existing procedure is adequate
Clerk	Loss of Clerk	L	Appropriate training, reference books and legal advice are available	Member of ALCA, monitor work conditions
Election costs	Risks of an election	M	Accruing provision for election or referendum costs made in annual precept	Reviewed annually during budget preparation

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Claiming VAT	Reclaiming VAT in timely manner	L	Due to minimal occurrence, the Council is not registered for VAT	Existing procedure is adequate
Annual return	Not submitted within the limit	L	Completed agreed and signed by council, internally audited, sent to external auditors if required and published as legally required.	Existing procedure is adequate
Minutes, agendas and standing documents	Accuracy and legality Non Compliance with Statutory requirements	L L	Minutes and agendas adhere to legally required preparation and publicity. Minutes are agreed and signed at the next meeting. Business conducted at the council is managed by the Chair	Existing procedure is adequate. Ensure the code of conduct is adhered to.
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
Employers liability	Non Compliance with employment law	L	Undertake training and seek advice when needed.	Existing procedure is Adequate
Legal liability	Legality of activities Proper and timely reporting via minutes	M L	Clerk clarifies legal position and takes advice when needed Council receives and agrees minutes at monthly meetings	Existing procedures are Adequate
Members interests	Conflict of interests	M M	Councillors declare any interest at the start of the meeting and it is so recorded in the minutes of the meeting. Register of interests forms reviewed annually	Existing procedure is adequate. Members let clerk know of changes
Assets	Loss or damage/risk/third parties risks	L	Asset register is kept up to date and insurance held at the appropriate level for all items. Regular equipment checks and maintenance are undertaken	Existing procedure is adequate.
General Data Protection Regulations (GDPR)	Policy Provision	L	The Council is registered with the Information Commissioner’s Office (ICO). Data is only held and distributed in accordance with GDPR rules.	Ensure annual review and renewal of registration, and compliance with rules.
Vexatious Behaviour	Costly defence against vexatious behaviour; eg vexatious complaints to the external auditor	M	A ring-fenced contingency provision within the provisions element of the Council’s accounts will be established to ensure that such un-budgeted sums can be paid.	This will need annual review to assess the the risk versus the ability to fund payments.

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Cyber Security	Loss of control over computer access, operations or records	M	Key computer records are encrypted, held on the cloud, on the internet, on secure off-computer duplicates and also recorded on an off computer back up system. Back up copies and access codes are to be set up with the Chair of the Council to ensure off site access in the event of any catastrophic emergency.	This risk will need to be constantly assessed in the context of changing cyber risk norms.
Access to files and computer records in an emergency	Anything that disables the Clerk from accessing or communicating access information to Council records	M	As with cyber security, a system of depositing regular update duplicate files with the Chair must be rigorously adhered - with access passwords as needed - to ensure that they can be re-constituted.	Annual review and testing of system to ensure it works seamlessly.
Continuity of website & email management and updating	The system is currently run an external specialist Local Government provider, VisionITC.	M	<i>System needs to remain with independent specialist Local Government provider to ensure continuity, ease of management access and support for a legally demanded information framework.</i>	The Council, within its annual review, needs to be assured that it is with the best provider, on their optimal service level for purpose and that the staff and Councillors have a well rehearsed understanding of access and management responsibilities.

The information given above was agreed on:

(Date)

Signed - Chair:

Signed - Clerk: