

## ANNEX 1

### LONGCOT PARISH COUNCIL RISK ASSESSMENT 2019-2020

This document enables the Longcot Parish Council to identify any and all potential inherent risks that it faces and satisfy itself that it has taken adequate steps to minimise or eliminate them, insofar as is practicable.

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

*Table 1 Risk Assessment 2019-2020.*

Subject	Risk(s) identified	Risk Probability (L,M,H)	Management/control of risk	Review/assess/revise
<b>FINANCIAL AND MANAGEMENT</b>				
Precept	Adequacy of precept in order for the Council to carry out its duties	L	Council receives a budget report at its October/November meeting which includes actual position and projected position to the end of the year and estimated expected costs for the following year, along with the Council's 3 year plan. 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 its precept. This figure is determined at its January meeting and submitted to VWHDC in writing using the VWHDC template.	Existing procedures ensure that an accurate precept is requested from VWHDC in a timely manner.
Salaries and associated costs	Salary paid incorrectly. Unpaid TAX/NI to HMRC	L L	Contract of Employment in place for Clerk/RFO. Annual review of salaries to be undertaken before Annual Precept is agreed. Financial Report to members HMRC Real Time procedures are followed for NI and PAYE Annual returns completed within the required timescale	Existing procedures cover all risks  HMRC controls and checks
Fraud by staff and third parties	Employees (currently 1) Health and Safety	L L	Requirements of Fidelity Guarantee insurance adhered to with regards to fraud Finance reports presented quarterly. End of year information reported internal and external audit reports. All employees to be provided with adequate direction and safety equipment needed to undertake their roles. Council only has 1 employee the Clerk. Contractors provide their own insurance and monitor their H&S	Existing procedures meet requirements Regular monitoring of H&S requirements Employment insurance cover monitored annually.

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			requirements. Play Parks are RA for the safety of the public and contractors.	
Financial records	Inadequate records Financial irregularities	L L	Council has Financial Regulations which sets out the requirements	Annual review of FRs undertaken. Amendments to FR's to be approved at Council meeting 30/10/2019.
Bank and banking	Lack of control over banking/procedures/ Checks	L L	Council has Financial Regulations which sets out banking requirements, including quarterly reconciliation /reports presented to Council	Existing procedures meet requirements Amendments to FR's to be approved at Council meeting 30/10/2019.
Grants	Authorisation of Council to pay	L	All expenditure must adhere to the Councils process of approval, minuted and listed accordingly if a payment is made using S137 powers of expenditure	Existing procedures meet requirements
Best value accountability	Work awarded incorrectly Overspend on services	L M	Financial Regulations followed. Quotations/estimates obtained where required. Financials controls to be undertaken.	Existing procedures adequate Existing procedures adequate
VAT	Reclaiming	L	Financial Regulations followed. Cumnor Parish Council is not registered for VATable sales.	Existing procedures meet requirements
Annual Return External Audit/ Internal Audit	Submit financial documentation as required within time limits	L	Interim Internal Audit carried out at the end of October and Annual Internal Audit at the end of March. Report submitted to Council. External Audit Annual Return completed and submitted to Internal Auditor for completion and relevant checks and signed by Council. Questions from Internal/External Auditor are responded to promptly by the RFO and reported to Council.	Existing procedures meet requirements
Legal Powers	Illegal activity or payments	L	All activities and payments within the powers of the Council to be resolved/approved at Council meetings. Code of Conduct signed by Councillors.	Existing procedures meet requirements
Minutes/ agendas/ Notices/ Statutory	Accuracy and legality relating to official business documentation Business conduct	L	Minutes and agendas are produced in the prescribed manner by the Clerk and adhere to the legal requirements. Minutes are consecutively numbered with each individual page initialled y the Chair and the	Existing procedures meet legal requirements Members adhere to the Councils Code of Conduct

Subject	Risk(s) identified	Risk Probability (L,M,H)	Management/control of risk	Review/assess/revise
Documents			final page signed and dated by the Chair. Drafts circulated to Councillors for comments. Agenda displayed according to legal requirements. Business conducted at Council/Committee meetings are managed by the Chair	
Members interests	Conflict of interests  Register of members interests	L  M	Declarations of interests by members at Council/Committee meetings Register of members interests forms reviewed regularly and passed on to VWHDC	Existing procedure adequate Members take responsibility to update register when required
Councillors	Resignation of Councillor or having more than 3 Councillors resign	L L	When a vacancy arises there is a legal process to follow. This either leads to a By-election or into a co-option process. An election is out of the Parish Council's control. The co-option process begins with an advert, acceptance of applications, consideration of applicants and co-option vote at a Council meeting then appointment. If there are more than 3 vacancies at any one time on the Council it becomes inquorate. The legal process of Vale of White Horse District Council appointing members takes place	Existing procedures adequate. Procedures of another body are adequate
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L L	An annual review is undertaken of all insurance arrangement to include: Employers and Employee liabilities Fidelity Public Liability Assets and Equipment	Existing procedure adequate Insurance reviewed annually
Data Protection	Policy provision	L	The Council is compliant with GDPR requirements	Existing procedure adequate
Freedom of Information Policy	Policy provision	L	Council has a Model Publication Scheme in place Fees for information should be based on time management in obtaining such information.	Monitor any requests made under FOI
<b>PHYSICAL EQUIPMENT OR AREAS</b>				
Assets	Loss/damage/vandalism Risk/damage to third party/ies	H  L	Annual review of assets is undertaken for insurance provision	Existing procedures meet requirements

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Maintenance	Poor performance of assets or amenities Risk to health and safety to the general public	L L	All assets owned by the Council are inspected and reviewed and maintained. All repairs and relevant expenditure relating to repairs are actioned/authorised in accordance with the correct procedures of the Council Annual inspection of the pay equipment is carried out by a qualified third party to comply with RoSPA requirements along with monthly inspections/service inspections Reported faults/damage are dealt with promptly. Assets are insured	Existing procedures meet requirements
Meeting locations	Adequacy Health & Safety	L L	Council/Committee meetings are held in venues considered to have appropriate facilities for the Clerk, members and the general public. Venues are compliant with Disability Laws and do not sell alcohol.	Venues meet requirements.
Council records - paper and electronic	Loss through: Theft Fire Damage Corruption of computer	L	Council paper records are stored in locked filing cabinet. Electronic records are stored on a desktop and backed up by external back up and USB held by Chair of Council and available on the <a href="#">Longcot Parish Council website</a> .	Existing procedures meet requirements To back up to the cloud

Reviewed at the meeting of the Parish Council on Wednesday 30 October 2019 minute 159/19