

## Dethick, Lea and Holloway Parish Council

### Risk Assessment

This document identifies, assesses and records significant operational risks faced by the Parish Council. It also describes controls that are in place in order manage the risks identified.

Subject	Risk(s) Identified	Severity of Risk H/M/L	Management / Control of Risk
Precept	Adequacy of precept in order for the Council to carry out its statutory duties and functions	L	<p>Precept is based on a draft budget prepared by the Clerk which uses actual income and expenditure figures from the previous year in order to improve accuracy.</p> <p>Monthly bank reconciliation and budget monitoring report circulated to the parish council so that income and expenditure can be monitored.</p> <p>Contingency fund built into budget to deal with unforeseen expenditure.</p>
Cash and Banking	<p>Loss of cash</p> <p>Bank/financial errors</p>	L	<p>All transactions to be cheque or electronic.</p> <p>Cash not generally accepted.</p> <p>Monthly bank reconciliation report circulated to the parish council.</p>

Petty Cash	Loss of cash Theft	L	Petty cash system not used.
Payments	Incorrect / inappropriate payments or withdrawals.	L	Financial Regulations adopted.  All payments reported to the parish council for approval and published on agenda / minutes.  All payments made by cheque or electronic.  Two cheque / online electronic signatories.  Monthly bank reconciliation and budget monitoring reports circulated and approved by the parish council.
Grant Funding	Insufficient funds to complete specific projects.  Overspend on projects.	L	All external funding applications / projects to be approved by the parish council.  Regular project updates given to the parish council.  Monthly bank reconciliation and budget monitoring reports circulated and approved by the parish council.
VAT Return	Errors on VAT claim.	L	Keep accurate records of VAT paid and reclaimed.  VAT return to be approved by the parish council.
Annual Return	Late submission of annual return.	L	Annual Return is completed and submitted within the prescribed time frame by the Clerk.  Annual Return completed and signed by the parish council, submitted to internal auditor for completion and

			signing and then checked and sent to External Auditor within the prescribed time frame.
Financial policies and procedures	Inadequate financial controls and procedures.	L	Financial Regulations adopted.  Internal auditor appointed to check all financial controls.
Insurance & Risk	Inadequate insurance cover in place.	L	Insurance cover is assessed on an ongoing basis and modified where necessary.  Risk assessments and inspections carried out where necessary.
Assets	Loss or damage to assets.  Risk/damage to third party(ies) property.	M	Insurance cover is assessed on an ongoing basis and modified where necessary.  Risk assessments and inspections carried out where necessary.
Website	Disruption to website.  Loss of website.	L	Reputable and established website hosting company used with adequate infrastructure.
Data Protection and information security	Failure to comply with data protection legislation.  Loss of personal data.	L	The parish council is registered with the Information Commissioners Office (ICO).  Clerk and councillors to be familiar with data protection requirements.  Personal information is not shared inappropriately or kept on a memory stick.  Parish council laptop to be password protected.

			Paper based records containing personal or sensitive information shredded.
Freedom of Information	Failure to comply with Freedom of Information legislation.	L	Clerk and councillors to be familiar with the requirements of the Freedom of Information legislation.
Business continuity and parish council records and information	Loss of email service  Loss of essential information	M	<p>Emails to be kept on server as well as parish council laptop.</p> <p>Regular backup of parish council laptop to external storage (eg Google Drive) or external hard drive. If external hard drive is used this should be stored at a separate location to the parish council laptop.</p> <p>Where possible, copies of paper-based information to be held electronically.</p>
Members Interests	Failure to declare member interests	L	<p>Code of conduct policy adopted.</p> <p>Register of member interests kept and maintained by Amber Valley Borough Council.</p> <p>Opportunity to declare interests at parish council meetings.</p>
Health and safety	Injury to member of the public, volunteers, staff or councillors when using parish council facility.	M	<p>Regular inspection and maintenance of facilities and assets.</p> <p>Suitable signs warning of hazards.</p> <p>Staff and volunteer training.</p> <p>Use of personal protective equipment (PPE).</p>

<p>Cemetery Burials</p>	<p>Use of incorrect burial plot.  Injury from falling into open grave.</p>	<p>L</p>	<p>Accurate burial register kept.  Cemetery regulations adopted.  Identify burial plots with the use of a marker.  Graves prepared by suitably trained grave digger employed by funeral director.  Open graves to be covered.</p>
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