

## BLACKBIRD LEYS PARISH COUNCIL: RISK ASSESSMENT APRIL 2021 – MARCH 2022

No	Item	Risk Rating	Details	Action	Lead
<b>1.</b>	<b>Asset</b>				
1.	Noticeboards	Medium Significant risk (2 x 2 = 4)	Damage via vandalism	Covered via insurance with £100 excess. Situated in a public place with cameras to act as a deterrent.	Clerk
2.	Parish Laptops	Low risk (1 x 1 = 2)	Accidental damage/stolen	Regular monitoring via Councillors and Clerk. Covered via insurance policy.	Clerk Councillors
3.	Parish Laptops	Medium Significant risk (2 x 2 = 4)	Virus attack	Virus software installed; important parish documents are saved on to Dropbox.	Clerk
4.	Office Security	Medium critical risk 2 x 3 = 6	Sensitive computer data is password protected.	Yes, passwords are required to access parish information.	Clerk
5.	Office Security	Medium critical risk 2 x 3 = 6	Councillors access to Dropbox information.	Passwords to be created on devices accessing parish information	Clerk Councillors
6.	Office Security	High critical risk 3 x 3 = 9	All councillors can access confidential information	Professional Dropbox to be purchased	Clerk Councillors
7.	Regular Maintenance/ Inspections	Low risk 2 x 3 = 6	Regular checks are not being completed or reported back, as per the insurance requirements.	Vice chairman to complete a monthly inspection and report back at each meeting.	Clerk Vice - chairman

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7.	Asset Register	Low significant risk $2 \times 2 = 2$	Maintained and Accurate	Yes, reviewed annually	Clerk
<b>2</b>	<b>Financial</b>				
1.	Handling VAT	Low significant risk $1 \times 2 = 2$	Make accurate and regular reclaims Ensure correct values applied	Claimed quarterly, claim record maintained monthly.	Clerk
2.	Budgeting (precepts)	Low significant risk $1 \times 2 = 2$	Maintain accurate accounts to control budgets.	Updated and circulated monthly.	Clerk
3.	Budgeting (precepts)	Low significant risk $1 \times 2 = 2$	Annual precept based on adequate budgetary process.	Yes, reviewed annually.	Clerk
4.	Grant Funding	Medium Significant risk $(2 \times 2 = 4)$	The grant policy has been reviewed, and split into two awarding schemes based on the amount requested. Monitoring has been put in place, and for the large grants 70% of the grant is to be paid up front. The remaining 30% is paid on satisfactory monitoring.	Continuous monitoring of the process	Clerk Councillors
5.	Grant Funding	High critical risk $3 \times 3 = 9$	Monies not being used for the intended purposes, lack of monitoring through-out the process.	Process review required.	Clerk Councillors
6.	Reserves	High critical risk $3 \times 3 = 9$	Monies held in reserve are low during first six months	Grant process needs to be reviewed.	Clerk Councillors

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7.	Banking Arrangements	High critical risk 3 x 3 = 9	Control of signatories The current provider does not offer two signatories, only one. This is a breach of the financial regulations.	Clerk to advise to change to Unity Bank. Additional signatories required.	Clerk Councillors
8.	Banking Arrangements	Low significant risk 1 x 2 = 2	Internal Financial controller	Appointed to review all payments.	Clerk Councillors
9.	Salary Payments	Low negligible 1 x 1 = 1	Paid on time and correct amount.	Clerk and chairman to be paid by standing order, to avoid errors.	Clerk
10.	Salary Payments	Low significant 1 x 2 = 2	Pension	Not set-up yet.	Clerk
<b>3.</b>	<b>Procedural</b>				
1.	Meetings	Low negligible 1 x 1 = 1	Conducted legitimately	Good procedures in place.	Clerk Councillors
2.	Minutes	Low significant 1 x 2 = 2	Signed and retained appropriately	Hard copy stored and electronic copy uploaded to the website.	Clerk Councillors
3.	Agendas Summons to Meetings	Low significant 1 x 2 = 2	Sent out in time and giving sufficient detail.	Circulated 3 clear days in advance of the meeting, and uploaded to the website.	Clerk
4.	Agenda	Low significant 1 x 2 = 2	Planning applications not properly listed on the agenda	Chairman to proof-read the agenda before circulation.	Clerk Chairman
5.	Training	Medium significant 2 x 2 = 4	Councillor's awareness of responsibilities	Added to the standing orders - a minimum term of 12 months to be served before a councillor can become Chairman or Vice Chairman.	Clerk Councillors

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6.	Training	Medium significant 2 x 2 = 4	Ensure Councillors are properly trained.	Added to the standing orders - mandatory attendance to the Roles and Responsibilities course in the first 12 months of joining.	Clerk Councillors
7.	Training	Medium significant 2 x 2 = 4	Ensure Clerk is properly trained.	Clerk working towards CILCA qualification.	Clerk
8.	Personal emails use	Medium significant 2 x 2 = 4	Use of personal email address, and it being misconstrued as the view of the Parish Council.	Budget cost added to purchase Councillor mailboxes. No personal emails addresses to be added to the website, and blind copied on council emails.	Clerk Councillors
9.	Declaration of Interest	Low significant 1 x 2 = 2	Register accurate and lodged with monitoring officer	Reviewed annually.	Clerk
10.	Declaration of Interest	Low significant 1 x 2 = 2	Agenda items declared at each meeting	Councillors advised it is their responsibility to declare any interests not the Clerks.	Councillors
11.	Resolutions	Low significant 1 x 2 = 2	The Chair summarises resolutions	Recorded as 'actions' in the Minutes.	Chairman Clerk
12.	Resolutions	Low significant 1 x 2 = 2	Members vote on them, where Members disagree with the advice of the Clerk, such disagreement is recorded.	Now recorded in Minutes	Clerk Councillors

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13.	Resolutions	Low significant 1 x 2 = 2	Decisions delegated to Clerk/members are reported back to Council & recorded in Minutes	Via monthly report.	Clerk Councillors
14.	Contract of Employment	Low negligible 1 x 1 = 1	Issue contract within legislative timeframe.	Clerk in receipt of employment contract.	Clerk
15.	Loss of Key Staff	Medium significant 2 x 2 = 4	Clerk leaves at short notice.	Chairman to contact the O.A.L.C to obtain a locum.	Chairman
16.	Code of Conduct	Medium significant 2 x 2 = 4	Councillors awareness	A Communication Policy and Representatives Protocol has been adopted.	Clerk Councillors
17.	Standing Orders	Low negligible 1 x 1 = 1	Reviewed Annually	Scheduled for May 2021	Clerk Councillors
18.	Financial Regulations	Low negligible 1 x 1 = 1	Reviewed annually	Scheduled for May 2021	Clerk Councillors
19.	Press Comments	Medium significant 2 x 2 = 4	Adopt guidelines for press comments	A Communication Policy has been adopted.	Clerk Councillors
20.	Data Protection	Medium significant 2 x 2 = 4	Keep up to date to ensure legislative compliance	To attend training	Clerk Councillors
21.	Freedom of Information	Medium significant 2 x 2 = 4	Respond to requests in accordance with Publication Scheme & Information Guide	Publication Scheme & Guide has been adopted	Clerk Councillors
22.	Administration	Medium significant 2 x 2 = 4	Strategic direction	A working group has been appointed.	Clerk Councillors