

DRAYCOTT PARISH COUNCIL

RISK ASSESSMENT

NOTES

“The greatest risk facing the local authority is not being able to deliver the activity or services expected of the Council.”

Risk assessment is a systematic general examination of working conditions, workplace activities and environmental factors that will enable the employer to identify any and all potential risks inherent in the pace or practices. Based on a recorded assessment the employer should then take all practical and necessary steps to reduce or eliminate the risks, insofar as is practically possible, making sure that all employees are made aware of the results of risk assessment.

This document has been produced to enable Draycott Parish Council to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them. In conducting this exercise, the following plan was followed:

- Identify the areas to be reviewed
- Identify what the risk may be
- Evaluate the management and control of the risk and record all findings
- Review, assess and revise if required

FINANCIAL AND MANAGEMENT

Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
1.Business continuity	Risk of Council not being able to continue its business due to an unexpected or tragic circumstance. Loss of paper/electronic records. Breaking the rules of GDPR	H	In the event of long term incapacity of a Clerk, the Chairman to contact SPCA for advice/standing-in Clerk. In the event of loss or theft of records, consideration should be given to the purchase of fire proof container(s). Backups of electronic records to be made regularly and stored separately. Care is taken to not publish personal information without consent. All unnecessary data is destroyed by shredding and burning. Documents which need to be retained are stored securely.	Existing procedures are adequate. Organised filing of electronic data to be retained. Regular disposal of unnecessary paper data

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2.Precept	Adequacy of precept. Requirements not submitted to SMDC. Amount not received from SMDC	L L L	To determine the precept amount required, the Parish Council regularly received budget update information and the precept is an agenda item at full Council. At the precept meeting Council receives a budget update report, including actual position and projected position to end the year and indicate figures or costings obtained by the Clerk. With this information, the Council determines the required monies for revenue costs and capital projects for the following year and applies specific figures to budget headings, the total of which is resolved to be the precept amount to be requested from SMDC. This figure is submitted by the Clerk in writing to SMDC. The Clerk informs Council when the monies are received.	Existing procedures are adequate.
3.Financial records	Inadequate records. Financial irregularities	L L	The Council has Financial Regulations which set out the requirements.	Existing procedure adequate. Review the Financial Regulations for adequacy and improvement annually.
4.Bank and banking	Inadequate checks Bank mistakes Loss Charges	L L L L	The Council has Financial Regulations which set out the requirements for banking, cheques and reconciliation of accounts. The Parish Council has two bank accounts (current and a reserve). Cheques require two signatures; PMcL, RH, GW, MD are signatories (mandate says two to sign cheques with stubs initialled). The bank does make occasional errors in processing cheques which are discovered when the Clerk reconciles the bank accounts once a month when the statement arrives; these are dealt with immediately by informing the bank and awaiting their correction.	Existing procedure adequate. Review the Financial Regulations and bank signatory list reviewed annually, or after an election or resignation of Councillor Monitor the bank statements monthly.
5.Cash	Loss through theft or dishonesty	L	The Council has Financial Regulations which set out the requirements. Cash received is banked promptly. No petty cash is to be retained.	Existing procedure adequate. Review the Financial Regulations annually.
6.Reporting and auditing	Information communication Compliance	L M	A statement of payments made and to be approved is produced for each Council meeting. An annual budget review is presented to Council. Bank reconciliation is done monthly. Accounts and budgeting are audited internally and externally annually. Annual reports detailing compliance with audit regulations are presented to Council and made available to the public via the Council website.	Existing procedure adequate.

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7.Direct costs Overhead expenses Debts	Goods not supplied but billed Cheque payable incorrect Unpaid invoices	L L L	The Council has Financial Regulations which set out the requirements. Council approves the list of requests for payment. Unpaid invoices to the Council for services are pursued.	Existing procedure adequate. Review the Financial Regulations annually.
8.Loans/ Grants	Receipts of Loans/ Grants	L	A statement of payments made and to be approved is produced for each Council meeting. Annual budget review is presented to Council. Bank reconciliation is done monthly. Accounts and budgeting are audited internally and externally annually. Annual reports detailing compliance with audit regulations are presented to Council and made available to the public via the Council website.	Existing procedure adequate. Review the Financial Regulations annually.
9.Charges Rentals receivable	Receipt of lease rental Insurance implication	L	Not applicable	Existing procedure adequate.
10.Best value accountability	Work awarded incorrectly.	L M	Normal Parish Council practice is to strive to seek 3 quotations for any substantial work required to be undertaken or goods.	Existing procedure adequate. Include when reviewing Financial Regulations
11.Salaries, pensions and associated costs	Overspend on services. Salary paid incorrectly. Wrong deduction of NI and Tax/pensions Unpaid Tax and NI contributions to the Inland Revenue	L L L	The Parish Council authorises the appointment of the Clerk. Salary rates are reviewed annually and applied on 1 April each year in line with NJC Guidelines. Salary analysis and payslips are produced by the Clerk together with a schedule of payments to the Inland Revenue (for tax and NI payments). The Tax and NI is worked out using HMRC's Basic PAYE Tool which is updated regularly. All Tax and NI payments are submitted to HMRC on a monthly basis. The Clerk does not keep a timesheet but has a contract of employment and job description.	Existing appointment and payment system is adequate. Procedures for complaints procedure and annual specifics for reviews of salary adequate.
12.Employee	Fraud by employee Actions taken by staff	L L	The requirement of the Fidelity Guarantee insurance to be adhered to with regards to Fraud. The Clerk should be provided with relevant training, reference books, access to assistance and legal advice required to undertake the role.	Existing procedure adequate. Purchase of necessary books. Monitor safety requirements and insurance regularly
13.Councillor allowances	Councillors over-paid Income tax deduction	Negative	No allowances are allocated to Parish Councillors.	No procedure required

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14.Election costs	Risk of an election cost	L/M	Risk is higher in an election year. When election due SMDC provide an estimate of costs for a full election and an uncontested election. There are no measures which can be adopted to minimise the risk of having a contested election as this is a democratic process and should not be stifled.	Consider budgeting funds for allocated reserve annually towards election costs.
15.VAT	Re-claiming/charging	L	VAT is to be re-claimed each year. The Council has Financial Regulations which set out the requirements.	Existing procedure adequate
16.Annual return	Submit within time limits	L	The Clerk completes the Annual Return and along with the Governance Statement it is approved by Council within timescales set by External Auditor. Public notices are posted as per regulations.	Existing procedure adequate
17.Legal powers	Illegal activity or payments	L	All activity and payments within the powers of the Parish Council to be resolved and minuted at full Council Meetings, including a reference to the power used.	All councillors to be provided with a copy of powers for reference purposes at meetings.
18. Minutes/Agendas/ Notices Statutory documents	Accuracy and legality Business conduct	L L	Minutes and agendas are produced in the prescribed method by the Clerk and adhere to the legal requirements. Minutes are approved and signed at the next Council meeting. Minutes and agenda are displayed according to the legal requirements. Business conducted at Council meetings should be managed by the Chair.	Existing procedure adequate Guidance/training to Chair should be given (if required). Members to adhere to Code of Conduct
19.Members Interests	Conflict of Interests Register of Members Interests	L M	Declarations of interest on agenda items are recorded in the minutes which are kept on file by the Clerk. Register of Members Interest forms should be reviewed regularly by Councillors and any amendments notified to proper officer.	Existing procedure dequate. Members take responsibility to update their Register.
20. Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L L	An Annual Review is undertaken (before the time f the policy renewal) of all insurance arrangements in place. Employers and Employee liability insurance is a necessity and must be paid for. Ensure compliance measures are in place. Ensure fidelity checks are in place.	Existing procedure adequate. Review insurance provision Annually. Review of compliance.

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21. Freedom of Information Act	Policy Provision	L M	The Council has a model publication scheme for Local Councils in place. Most documents are available on request. Freedom of information Requests to be assessed and responded to by Clerk as appropriate Within regulations and in compliance with statutory time limits.	Existing procedure adequate.
22. Assets	Loss or damage Risk/damage to third Party property or Individuals	L	An annual review of assets should be undertaken.	Existing procedures adequate. Review asset register, Insurance provision
23. Maintenance	Poor performance of assets or amenities. Loss of performance Risk/damage to third Parties.	L L	All assets owned by the Parish Council are regularly reviewed and maintained. All repairs and relevant expenditure for these repairs are actions/authorised in according with the correct procedures of the Parish Council. All assets are insured and reviewed annually.	Existing procedures adequate. Ensure inspections are carried out.
24. Notice Boards	Risk/damage/injury to third party	L	The Parish Council is responsible for three notice boards. The locations have approval by the relevant parties. The notice boards are inspected regularly by the Clerk/Chair and any repairs/maintenance requirements brought to the attention of the Parish Council.	Existing procedure adequate.
25. Street Furniture	Risk/damage/injury to Third parties	L	The Parish Council is responsible for 5 Bus shelters, 3 benches, 5 litter bins, 2 phone boxes, 8 Planters situated in various points around the village and a WW1 Commemorative Yew Tree. These items are all covered by insurance. No formalised programme of inspections is carried out; all reports of damage are reported to the Parish Council and dealt with.	Report maintenance requirements during normal meetings.
26. Cardiac Defibrillators	Risk/damage/injury to Third parties	L	The Parish Council is responsible for a Cardiac Defibrillator and associated heated cabinet. This is covered by insurance. It is maintained and checked by the Cresswell Community Kiosk Management Committee and checked by A.E.D donate annually.	Existing procedure adequate

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