

Eakring Parish Council Risk Assessment

Notes

“The greatest risk facing a 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 place 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 the risk assessment.

This document has been produced to enable the 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				
Topic	Risk	H/M/L	Management/control of risk	Review/Assess/Revise
Business Continuity	Risk of Council not being able to continue its business due to an unexpected or tragic circumstance	L	In the event that the hall is out of action, records are kept off site and Clients will be informed. There are no vital services that need to be accommodated apart from Council meetings for which the Council would seek an alternative venue as local as possible in consultation with the insurance company	Review plan when necessary
Precept	Adequacy of precept Requirements not submitted to District Council	L L	To determine the precept amount required, the Parish Council regularly receives budget update information and the precept is an agenda item at full Council. Council receives a budget update report, including actual position and projected position to end the year and indicative figures or costings obtained by the Clerk. With this information the 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 the precept amount to be requested from the District Council. This figure is submitted	Existing procedure adequate

	Amount not received by District Council	L	by the Clerk in writing to the District Council. The Clerk informs Council when the monies are received (approx May time).	
Financial Records	Inadequate records Financial irregularities	L L	The Council has Financial Regulations which set out the requirements. A division of responsibility between the hall bookings person and the clerk ensures that any errors are identified quickly. Records are held in the cloud and can be recovered should there be a loss of laptop/physical records	Existing procedure adequate. Review the Financial Regulations when necessary.
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 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. The Council will encourage bank transfer for income. No cheques will be issued, all transactions will be by bank transfer via Unity that ensures two Councillors and the Clerk scrutinise all payments	Existing procedure adequate. Review the Financial Regulations when necessary and bank signatory list when necessary, especially after an AGM and an election. Monitor the bank statements monthly.
Cash	Loss through theft or dishonesty	L	The cash will not accept or pay out by cheque	Existing procedure adequate. Review the Financial Regulations when necessary.
Reporting and Auditing	Information communication Compliance	L M	A monitoring statement is produced regularly before each Council meeting with the agenda, discussed and approved at the meeting. This statement includes, bank reconciliation, budget update, and a breakdown of receipts and payments balanced against the bank. Council should regularly audit internally to comply with the Fidelity Guarantee.	Existing communication procedures adequate. Council annually to appoint a Councillor Auditor for Fidelity Compliance.
Direct costs Overhead expenses	Goods not supplied but billed Incorrect invoicing	L L	The Council has Financial Regulations which set out the requirements. At each Council meeting the list of invoices awaiting	Existing procedure adequate. Review the Financial Regulations when necessary.

Debts	Cheque payable incorrect	L	approval is distributed to Councillors and considered. No cheques will be issued. The Council has minimal stocks, these are checked and monitored by the Clerk. Unpaid invoices to the Council for adverts in the newsletter or services are pursued and where possible, payment is obtained in advance.	
	Loss of stock	L		
	Unpaid invoices	L		
Grants and support - payable	Power to pay Authorisation of Council to pay	L	All such expenditure goes through the required Council process of approval, minuted and listed accordingly if a payment is made using the S137 power of expenditure.	Existing procedure adequate. Parish Councillors request a S137 rules if required.
Grants - receivable	Receipts of Grant	L	The Parish Council does not presently receive any regular grants. One off grants would come with terms and conditions to be satisfied.	Procedure would need to be formed, if required.
Charges – rentals payable	Payments of charges, leases, rentals	L	The Parish Council owns the Cator Hall. NA	Existing procedure adequate.
Charges – rentals receivable	Receipt of rental	L	The council will review charges at a Full Council meeting. There is a bookings spreadsheet showing when invoices were paid. The clerk will chase non-payers	No procedure required.
Best value Accountability	Work awarded incorrectly	L	Normal Parish Council practice would be to seek, if possible, more than one quotation for any substantial work required to be undertaken or goods. For major contract services, formal competitive tenders would be sought. If a problem is encountered with a contract the Clerk would investigate the situation, check the quotation/tender, research the problem and report to Council. All expenditure is run through Council meetings to ensure value for money.	Existing procedure adequate.
	Overspend on services	M		
Salaries and associated costs	Salary paid incorrectly	L	The Parish Council authorises the appointment of all employees via the Full Council. The Tax and NI is worked out using an Inland Revenue computer programme updated annually. All Tax and NI payments are submitted in the Inland Revenue The Clerk does not keep a time sheet and has a contract of employment and job description.	Existing appointment and payment system is adequate.
	Wrong hours paid	L		
	Wrong rate paid	L		
	False employee	L		
	Wrong deductions of NI or Tax	L		
	Unpaid Tax & NI	L		

	contributions to the Inland Revenue		All contracts of employment contain a section on overpayment and recoup.	
Employees	Loss of key personnel Fraud by staff Actions undertaken by staff Health & Safety	L L L L	The Council are members of the Ntts ALC who will provide a list of locum Clerks. The requirements of the Fidelity Guarantee insurance to be adhered to with regards to Fraud. The Clerk has been provided with relevant training, reference books, access to assistance and legal advice required to undertake the role. The staff have been provided with adequate direction and safety equipment needed to undertake the roles, ie. protective clothing and training.	Existing procedure adequate. Monitor working conditions, safety requirements and insurance regularly.
Councillor allowances	Councillors over-paid Income tax deduction	L	No allowances are allocated to Parish Councillors	No procedure required
Election costs	Risk of an election cost	L	These costs are difficult to predict in both frequency (vacancy procedure) or cost (with/without sharing cost with NSDC/NCC). Adequate provision will be maintained within unallocated reserves and reviewed if necessary.	Existing procedure adequate
VAT	Re-claiming/charging	L	The Council has Financial Regulations which set out the requirements. VAT will be reclaimed in the April/May up to the following end of March year end via S126 procedure	Existing procedure adequate
Annual Return	Submit within time limits	L	Employer's Annual Return is completed and submitted online and to the Inland Revenue within the prescribed time frame by the Clerk. Annual Return is completed and signed by the Council, submitted to the internal auditor for completion of their section and signing then checked and sent on to the External Auditor within time limit.	Existing procedures adequate
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 Parish Council Meetings, including a reference to the power used.	Powers have been minuted
Minutes/Agendas/Notices Statutory Documents	Accuracy and legality	L	Minutes and agenda 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	Existing procedure adequate. Members to adhere to Code

	Business conduct	L	the legal requirements. Business conducted at Council meetings should be managed by the Chair.	of Conduct.
Members interests	Conflict of interest	L	Although not a requirement, the declaring of interests by members at a meeting should be an obvious process to remind Councillors of their duty and should remain on the agenda.	Existing procedure adequate.
	Register of Members interests	M	Register of Members Interest forms should be reviewed regularly by Councillors.	Members take responsibility to update their Register.
Insurance	Adequacy	L	An annual review is undertaken (before the time of the policy renewal) of all insurance arrangements in place.	Existing procedure adequate.
	Cost	L	Employers and Employee liability insurance is a necessity and must be paid for.	Review insurance provision annually.
	Compliance Fidelity Guarantee	L M	Ensure compliance measures are in place. Ensure Fidelity checks are in place.	Review of compliance.
Data protection	Policy Provision	L	The Council is registered with the Information Commissioners Office	Ensure annual review of registration
Freedom of Information Act	Policy	L	The Council has a model publication scheme for Local Councils in place.	Monitor and report any impacts of requests made under the F of I Act.
	Provision	M	There have been no requests for information to date but the Clerk is aware that if a substantial request arrives then this may require many hours of additional work. The Council is able to request a fee if the work will take more than 15 hours but the applicant also has the right to re-submit the request broken down into sections, thus negating the payment of a fee.	

PHYSICAL EQUIPMENT OR AREAS				
Subject	Risk(s) Identified	H/M/L	Management/control of risk	Review/Assess/Revise
Assets	Loss or Damage Risk/damage to third party(ies)/property	L L	An annual review of assets is undertaken for insurance provision, storage and maintenance provisions.	Existing procedure adequate.
Maintenance	Poor performance of	L	All assets owned by the Parish Council are regularly	Existing procedure adequate.

	assets or amenities Loss of income or performance Risk to third parties	L L	reviewed and maintained. All repairs and relevant expenditure for these repairs are actioned/authorised in accordance with the correct procedures of the Parish Council. All assets are insured and reviewed annually. All public amenity land is inspected regularly by parish councillors.	Ensure inspections carried out.
Notice boards	Risk/damage/injury to third parties Road side safety	L L	Parish Council has one notice board sited at the village hall. All locations have approval by relevant parties, insurance cover, inspected regularly by the Clerk - any repairs/maintenance requirements brought to the attention of the Parish Council. Keys held by the Chairman.	Existing procedure adequate.
Street furniture	Risk/damage/injury to third parties	L	The Parish Council is responsible for 4 benches (2 metal & 2 Wooden), 1 Flagpole, 1 Phone box containing a defibrillator in a locked cabinet and Mompesson's Cross around the village and covered by insurance. Volunteers have adopted some assets and report any damage. No formalised programme of inspections is carried out, all reports of damage or faults are reported to Council and dealt with.	Existing procedure adequate.
Playing Field Equipment	Risk/damage/injury to third parties	L	The Parish Council is responsible for all the children's play equipment and a MUGA on the Playing Field. All equipment is covered by insurance and is inspected by the installation company yearly. All reports of damage or faults are reported to Council and dealt with	Existing procedure adequate. The Council may consider appointing NSDC or alternative supplier to carry out routine inspections
Meeting location	Adequacy Health & Safety	L M	The Parish Council Meetings are held at the Cator Hall. The premises and the facilities are considered to be adequate for the Clerk, Councillors and Public who attend from Health and Safety and comfort aspects.	Existing locations adequate.
Council records – paper	Loss through: theft fire damage	L M L	The Parish Council records are stored at the Clerk's home and the Cator Hall. Records include historical correspondence, minute books and copies, leases for land or property, records such as personnel, insurance, salaries etc. Recent materials are in a metal filing cabinet (not fire proof) and older more historical records in the	Damage (apart from fire) and theft is unlikely and so provision adequate. Deeds/leases copied and deposited off-site.

			Nottinghamshire Archives.	
Council records - electronic	Loss through: Theft, fire, damage corruption of computer	L	The Parish Council's electronic records are stored on the Clerks computer. Back-ups of the files are taken at regular intervals and kept on the council's cloud.	back-up of electronic files taken through the cloud