

LITTON CHENEY 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 and councillors 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.

FINANCE AND MANAGEMENT

Subject	Risks Identified	Rating	Management of Risk	Review/Assess/Revise
Precept	<ul style="list-style-type: none"> • Adequacy of Precept • Requirements not submitted to WDDC • Precept not received by PC 	<p>M</p> <p>L</p> <p>L</p>	To determine the amount of precept required by the Parish Council annually, the Clerk/RFO prepares a budget, taking into account all anticipated expenditure and projects, increases in costs, any cash balances and subsequently determines from this the amount of precept required. A full review of the budget is undertaken by Parish Councillors at the Parish Council meeting in January. The Clerk submits the figure to WDDC. The Clerk informs the PC when the monies are received.	Existing procedure adequate. Future precept requirements may be much larger than previously and may not be implemented in full.

Financial Records	<ul style="list-style-type: none"> • Inadequate records • Financial irregularity 	L L	The PC has Financial Regulations which set out the requirements. The records are subject to both internal and external audit. The Clerk/RFO pays all monies received into the PC bank account. Payments are made by cheque or online bank transfer in accordance with the current mandate.	Existing procedure adequate. Review the Financial Regulations where necessary
Banking	<ul style="list-style-type: none"> • Inadequate checks • Bank mistakes • Loss • Unnecessary charges 	L L L L	Financial Regulations set out the requirements for banking, approval of cheques/payments and reconciliation of accounts. A financial statement is presented at each PC meeting. Bank errors would be quickly identified when statements are checked.	Existing procedures adequate. Review signatories as necessary.
Cash	<ul style="list-style-type: none"> • Loss through theft or dishonesty 		No petty cash system operated	
Reporting and Auditing	<ul style="list-style-type: none"> • Information communication and compliance 	L	A financial statement is produced prior to each PC meeting. An external audit is conducted annually on the financial records. Results are presented to the PC and displayed on the website, complying with the Transparency Code	Existing procedure adequate
Direct Costs	<ul style="list-style-type: none"> • Goods/services not supplied but billed • Incorrect invoicing • Cheque/Bank transfer payable incorrect • Unpaid invoices 	L L L L	The PC has Financial Regulations which set out the requirements. A list of invoices pending and paid is presented to each PC meeting. All PC members are consulted for approval before any invoices are paid.	Existing procedure adequate
Grants (payable)	<ul style="list-style-type: none"> • Power to issue grants and authorisation 	L	All such expenditure goes through the required Council process of approval, minuted and listed accordingly if a payment is made using S137 powers of expenditure	Existing procedure adequate

Grants (receivable)	<ul style="list-style-type: none"> • Receipt of grants 	L	The PC does not currently receive any regular grants. If a grant was applied for and successfully obtained the conditions of the grant would need to be considered and adhered to.	Existing procedure adequate
Charges – rents receivable	<ul style="list-style-type: none"> • Payment of rents 	L	The PC currently receives rent annually for the allotments. The PC hires the village hall for its meetings and is invoiced in the normal way.	Existing procedure adequate
Best Value Accountability	<ul style="list-style-type: none"> • Work awarded incorrectly • Overspend on services 	L M	Financial Regulations specify levels at which multiple quotes or the implementation of a tender process apply. Contractors are made aware that no deviation to original quotations will be allowed until formal approval has been made by council.	Existing procedure adequate
Salaries	<ul style="list-style-type: none"> • Salary paid incorrectly • Wrong deductions of NI or tax • Unpaid tax and NI contributions 	L L L	The Clerk is the only salaried employee of the PC and is paid against the appropriate spine point recommended by NALC and detailed in the contract. Salary rates are assessed annually by the PC and applied on 1 April each year. The Clerk has a contract of employment and a job description.	Existing procedure adequate
Employees	<ul style="list-style-type: none"> • Loss of key personnel • Fraud • Actions undertaken by staff and Health and Safety 	L L L	<p>The Clerk's role would be advertised and another appointment made. In the meantime the assistance of neighbouring parish clerks could be sought. A handover period to allow basic training is preferred.</p> <p>The requirements of the Fidelity Guarantee insurance to be adhered to</p> <p>The Clerk should be provided with relevant training, safety equipment and access to assistance to undertake the role</p>	Existing procedure adequate

Councillors	<ul style="list-style-type: none"> • Allowances 	L	No allowances are allocated to Parish Councillors	Existing procedure adequate
Elections	<ul style="list-style-type: none"> • Risk of an election cost 	L	The Risk is higher in an election year. When an election is due the Clerk will obtain an estimate of costs from WDDC 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. However reserves are held to cover the likely cost based upon the estimated cost supplied by WDDC.	Existing procedure adequate
VAT	<ul style="list-style-type: none"> • Maintain records and VAT receipts • Reclaim within timescales 		Financial Regulations set out the requirements. The income and expense report has a separate line for vat. Submissions are made annually unless a major project, i.e. playground, has been undertaken when a significant amount of vat is due. The Clerk will then process an individual claim for that amount	Existing procedure adequate
Data Protection and Freedom of Information Act	<ul style="list-style-type: none"> • Non-compliance with the Act • Publication scheme 	L L	The Council has a Model Publication Scheme in place. To date there has been one request under FOI. The Parish Council is aware that if a substantial request was submitted it could create a number of additional hours work. A scale of charges has been agreed and is appended to the MPS.	Review MPS periodically Monitor and report any impacts or requests made under FOI
Legal Powers	<ul style="list-style-type: none"> • Illegal activity or payments 	L	All activity and payments within the powers of the PC to be resolved at Council Meetings, including reference to the power used under the Finance section of the Agenda and Finance Report.	All activities and payments minuted

Minutes/Agendas/Notices/Statutory Documents	<ul style="list-style-type: none"> Accuracy and legality Business conduct 		Minutes and agenda are produced by 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 legal requirements. Business conducted at Council meetings should be managed by the Chair.	Existing procedure adequate. Guidance/training for the Chair should be given if required.
Transparency and Accountability	<ul style="list-style-type: none"> Policy provision 		The Council has adopted the Transparency Code for Smaller Authorities in accordance with the Local Audit and Accountability Act 2014.	Review at Annual Meeting
Insurance	<ul style="list-style-type: none"> Adequacy Cost 	L L	An annual review is undertaken (before the time of 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, or as required Review of compliance.
Members' Interests	<ul style="list-style-type: none"> Conflict of interest Register of Members' interests 	L M	Declarations of interest by members at Council meetings. Register of members' interests forms reviewed regularly.	Existing procedures adequate. Members take responsibility to update register.

PHYSICAL EQUIPMENT AND AREAS

Subject	Risks Identified	Rating	Management of Risk	Review/Assess/Revise
Assets	<ul style="list-style-type: none"> Loss or damage Risk/damage to third parties or property 	L L	An annual review of assets is undertaken for insurance provision. The assets register is displayed on the website.	Existing procedure adequate

Maintenance	<ul style="list-style-type: none"> Poor performance of assets 	L	All assets owned by the Parish Council are regularly 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. Parishioners are encouraged to report any issues to the Parish Clerk. Village lengthman maintains roadside verges etc and reports any issues to the Clerk	Existing procedures adequate
Noticeboards	<ul style="list-style-type: none"> Risk/damage/injury to third parties Road side safety 	L L	Parish Council has three notice boards sited in the village. Two are open, one locked (keys held by Clerk) All locations have approval by relevant parties, insurance cover, any repairs/maintenance requirements brought to the attention of the Parish Council.	Existing procedure adequate
Street Furniture	<ul style="list-style-type: none"> Risk/damage/injury to third parties 	L	The PC is responsible for 2 salt bins, 1 litter bin, a bus stop and a defibrillator. WDDC empties the litter bin and replenishes the salt bins. The PC does not in normal circumstances spread salt from the salt bins to avoid any liability.	Existing procedure adequate
Playing Field	<ul style="list-style-type: none"> Risk/damage/injury to third parties 	M	PC member has playing field portfolio. Grass regularly cut by contractor. Village lengthman reports on condition. Appropriate insurance in place. Review of facilities annually	Existing procedure adequate Proposals for renewing of playground facilities currently under consideration.
Council Records - paper	<ul style="list-style-type: none"> Loss through theft, fire or damage Keeping records in accordance with statutory requirements 	L	The Parish Council records are retained at the Clerk's residence and in a filing cabinet at the village hall. Records include historical correspondence, minute books and copies, leases for land or property, records such as personnel, insurance, salaries etc.	Existing procedure adequate
Council Records - electronic	<ul style="list-style-type: none"> Loss through theft, fire or damage Corruption/breakdown of computer 	L M	The Parish Council's electronic records are stored on the Clerk's computer. Back-ups of the files are taken at regular intervals.	Existing procedure adequate

Meeting Location	<ul style="list-style-type: none"> • Adequacy • Health and Safety 	L L	PC meetings are held at the Village Hall. The premises and facilities are considered adequate for the Clerk, Councillors and Public who attend the meetings, from Health and Safety and comfort aspects.	Existing procedure adequate
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Approved: March 2017

Signed: Chairman ----- (W Orchard)