

Loddington 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 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:

1. Identify the areas to be reviewed.
2. Identify what the risk may be.
3. Evaluate the management and control of the risk and record all findings.
4. Review, assess and revise if required.

FINANCE AND MANAGEMENT				
Subject	Risk(s) Identified	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	All files and recent records are kept at the Clerk's home. The Clerk makes regular back-ups of files to an external hard drive. In the event of the Clerk being indisposed the Chairman to contact the Northamptonshire Association of Local Councils for advice.	Existing procedures adequate. Review when necessary.
Financial records	Inadequate records or financial irregularities	L	The Council has Financial Regulations that set out the requirements.	Review the Financial Regulations when necessary.

FINANCE AND MANAGEMENT				
Subject	Risk(s) Identified	H / M / L	Management/Control of Risk	Review/Assess/Revise
Precept	Adequacy of precept Requirements not submitted to NNC	L	The Council reviews the Precept requirement annually at the November meeting and reviews the presented budget update information, including actual position and projected position to year end and estimated figures for the next financial year. With this information the Council then agrees the amounts set for the specific budget headings for the following year, the total of which is resolved to be the precept amount to be requested from North Northamptonshire Council (NNC).	Existing procedure adequate.
Precept	Amount not received by NNC	L	The Clerk informs North Northamptonshire Council when the monies are received (approx. April time).	Existing procedure adequate.
Bank and banking	Inadequate checks	L	The Council has Financial Regulations that set out the requirements for banking, cheques, and reconciliation of accounts.	Existing procedure adequate.
Bank and banking	Bank mistakes/Losses	L	The bank does make occasional errors in processing cheques which are discovered when the Clerk reconciles the bank accounts once a month when the statements arrive; these are dealt with immediately by informing the bank and awaiting their correction.	Review the Financial Regulations and bank signatory list when necessary, especially after an election and before Annual meeting.
Bank and banking	Charges	L	The Clerk reviews the Councils banking arrangements regularly.	Monitor the bank statements monthly.

FINANCE AND MANAGEMENT				
Subject	Risk(s) Identified	H / M / L	Management/Control of Risk	Review/Assess/Revise
Cash	Loss through theft or dishonesty	L	Cash received is banked within 3 banking days. Fireworks takings are checked by two Councillors.	Existing procedure adequate.
Reporting	Information communication	L	A budget monitoring statement is produced on a quarterly basis and discussed at the corresponding meeting. A full list of payments and receipts is provided at the meeting and the financial records including a breakdown of receipts and payments balanced against the bank statement are presented and checked by a Councillor at each meeting.	Existing communication procedures adequate.
Auditing	Compliance	M	Council provides an annual audit regularly audit by NCALC to comply with the Financial Regulations.	Existing communication procedures adequate.
Direct costs	Goods not supplied but billed	L	The Council has Financial Regulations that set out the requirements	Existing procedure adequate.
Overhead expenses	Incorrect invoicing and/or Cheque payable incorrect	L	At each Council meeting the list of invoices awaiting approval is considered before Council approves the list of requests for payment	Existing procedure adequate.
Debts	Unpaid invoices	L	Unpaid invoices to the Council are pursued and where possible, payment is obtained in advance.	Existing procedure adequate.
Grants payable	Power to pay	L	All such expenditure goes through the required Council process of approval, minuted and listed.	Existing procedure adequate.

FINANCE AND MANAGEMENT				
Subject	Risk(s) Identified	H / M / L	Management/Control of Risk	Review/Assess/Revise
Grants payable	Authorisation of Council to pay	L	All such expenditure goes through the required Council process of approval, minuted and listed.	Existing procedure adequate.
Grant's receivable	Receipts of Grant	L	Receipt is reported to the Council at the next meeting of the Council. Any one-off grants awarded would come with terms and conditions to be satisfied.	Existing procedures adequate.
Charge's rentals receivable	Receipt of rental and associated Insurance implication	M	Playing Field - The Playing Field Manager issues a rolling agreement for usage and both party's sign. The Parish Council copy is held in Parish Council records. Payment is received by transfer as agreed by both parties. The Parish Council is notified accordingly. The Cricket and Football Clubs arrange their own insurance and provide a copy to the Parish Council each year.	Existing procedure adequate. Review agreement and fees annually. Ensure payment and copy of insurance document received.
Best value Accountability	Work awarded incorrectly or overspend on services	M	As per Financial Regulations normal Parish Council practice would be to seek, if possible, more than one quotation for any substantial (£3,000 and above) 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.	Existing procedure adequate. Review Financial Regulations regularly.

Litigation	Potential risk of legal action being taken against the Council	M	Public liability insurance covers general personal injury claims where the Council is found to be at fault, but not spurious or frivolous claims - these cannot be insured against.	Insurance is adequate for requirements but there is still risk of other claims.
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FINANCE AND MANAGEMENT				
Subject	Risk(s) Identified	H / M / L	Management/Control of Risk	Review/Assess/Revise
Salaries and associated costs.	Salary paid incorrectly or Wrong hours paid, or Wrong rate paid	L	The Parish Council authorises the appointment of a Parish Clerk as the ONLY employee of the council. Salary rates are assessed annually and applied on 1st February on the anniversary of appointment. Salary is paid by BACS each month for a set number of hours and additional hours are reported and paid the following month. Tax and NI contributions deducted accordingly. In addition, the Clerk keeps a record of hours worked and has a contract of employment and job description.	Existing appointment and payment system is adequate.
Clerk	Loss of Clerk	M	A contingency fund should be established to enable training for the CiLCA qualification in the event of the Clerk resigning. The Clerk should be provided with relevant training, reference books, access to assistance and legal advice required to undertake the role.	Include in financial statement when setting precept.
Councillor allowances	Councillors over-paid.	L	Any expenses are approved in advance at full council meeting and are claimed by presenting the relevant receipt to the Council for approval. No allowances are allocated to Parish Councillors.	Existing procedure adequate.
VAT	Re-claiming/charging	L	The Council has Financial Regulations that set out the requirements.	Existing procedure adequate

Annual return	Submit within time limits	L	Annual Return is completed and signed by the Council, submitted, and then sent on to the External Auditor within time limit.	Existing procedures adequate.
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FINANCE AND MANAGEMENT				
Subject	Risk(s) Identified	H / M / L	Management/Control of Risk	Review/Assess/Revise
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	All activities and payments Minuted.
Council paper records	Loss through, theft, fire, or damage	L	The Parish Council records are stored at the home of the Clerk and Chair. Records include historical correspondence, minute books and copies, documents for ownership of property. Older records are stored in archives.	Damage (apart from fire) and theft is unlikely and so provision adequate.
Council electronic records.	Loss through, theft, fire or damage or Corruption of computer	M	The Parish Council's electronic records are stored on a Council computer at the Clerk's home. Back-ups of the files are taken at regular intervals on to external hard drive. All records are saved to One drive so can be accessed on a new computer.	Existing procedure adequate.
Insurance	Adequacy	L	An annual review is undertaken (before the time of the policy renewal) of all insurance arrangements in place.	Existing procedure adequate.
Data protection	Policy Provision	H	The Council has a model publication scheme for Local Councils in place.	Existing procedure adequate.
Freedom of Information Act	Policy Provision	L	The Council has a model publication scheme for Local Councils in place.	Monitor and report any impacts of requests made under the FOI Act.

Meeting location	Adequacy including Health & Safety.	L	The Parish Council Meetings are held at the Pavilion. The premises and the facilities are adequate for the Clerk, Councillors and Public who attend from Health & Safety and comfort aspects.	Existing location adequate.
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ASSETS				
Subject	Risk(s) Identified	H / M / L	Management/Control of Risk	Review/Assess/Revise
Street Furniture, Play Area Equipment and Open Spaces	Loss or Damage Risk/damage to third parties/property	L	An asset register is kept up to date and insurance is held at the appropriate level for all items. Regular checks made of all equipment by Members of the Parish Council or Clerk. Weekly risk assessment of Play Area equipment made by NNC. Regular inspection of the trees on the Playing Field by a Member of the Parish Council.	Existing procedure adequate. Review insurance requirements annually.
Noticeboards	Risk/damage/injury to third party's Roadside safety	L	Parish Council has three notice boards sited around the Parish. 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 Clerk.	Existing procedure adequate.
Maintenance	Poor performance of assets or amenities Loss of income or performance Risk to third parties.	L	All assets owned by the Parish Council are regularly reviewed and maintained. All repairs and relevant expenditure for these repairs are 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 employees.	Existing procedure adequate. Ensure inspections carried out.

LIABILITY				
Subject	Risk(s) Identified	H / M / L	Management/Control of Risk	Review/Assess/Revise
Legal Powers	Illegal activity or payments.	L	All activity and payments made within the powers of the Parish Council and to be resolved and clearly minuted.	Existing procedure adequate.
Minutes Agendas Notices Statutory documents	Accuracy and legality Business conduct	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 the legal requirements. Business conducted at Council meetings is managed by the Chair.	Existing procedure adequate. Members to adhere to Code of Conduct.
Public Liability	Risk to third party, property, or individuals	M	Insurance is in place. Risk assessments regularly carried out to comply with requirements.	Existing procedures adequate. Ensure risk assessments are carried out.
Legal Liability	Legality of activities	M	Clerk to clarify legal position on proposals and to seek advice if necessary.	Existing procedures adequate.

COUNCILLORS' PROPRIETY				
Subject	Risk(s) Identified	H / M / L	Management/Control of Risk	Review/Assess/Revise
Members interests	Conflict of interest	M	Councillors have a duty to declare any interests at the start of the meeting.	Existing procedure adequate.
Members interests	Register of Members interests	M	Register of Members Interest forms to be reviewed regularly by Councillors.	Members to take responsibility to update their Register.