

# RISLEY WITH HOPWELL PARISH COUNCIL

## RISK ASSESSMENT

Risk assessment is a systematic general examination of working conditions, workplace activities and environmental factors that will enable the Parish Council to identify any and all potential inherent risks. The Parish Council, based on a recorded assessment, will take all practical and necessary steps to reduce or eliminate the risks, insofar as is practically possible. This document enables Risley with Hopwell Parish Council to assess the risks it faces and satisfy itself that it has taken adequate steps to minimise them.

## FINANCIAL AND MANAGEMENT

Subject	Risk(s) identified	H/M/L	Management/control of risk	Review/assessment/revise
Precept	Adequacy of precept in order for the Council to carry out its Statutory duties	L	To determine the precept amount required, the Council regularly receives budget updates, financial statements and bank reconciliations from the Clerk. At the precept meeting Council receives a budget report, including actual position and projected position to the end of 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 Erewash Borough Council. The figure is submitted by the Clerk in writing. The Clerk informs the Council when the monies are received.	Existing procedure adequate when budget and precept submitted together at January/February meeting.
Financial Records	Inadequate records. Financial irregularities.	L L	The Council has Financial Regulations that sets out the requirements.	Financial Regulations adopted 2015. Reviewed annually in May/June

Subject	Risk(s) identified	H/M/L	Management/control of risk	Review/assessment/revise
Bank and banking	Inadequate checks. Banks mistakes.	L L	The Council has Financial Regulations which set out banking requirements. Periodic reconciliation – updated each month.	Financial Regulations adopted 2015
Reporting and auditing	Inadequate information and communication.	L	Financial information is a regular agenda item (Finance) and discussed reviewed and approved at each meeting.	Existing procedures adequate.
Grants	Failure to understand, seek, secure and spend grants	L	Regular financial reporting to the Parish Council by the Clerk.	Existing procedures adequate.
Charges – rents receivable.	Payment of rents	L	The Parish Council does not collect rents	Procedure would be formed if required
Grants and support available	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 S137 powers of expenditure	Existing procedures adequate
Best value accountability	Work awarded incorrectly. Overspend on services	L M	Normal Parish Council practice would be to seek, if possible, three quotations for spend of less than £3k. Tender is only required if spend exceeds £30k. If problems encountered with a contract the Clerk would investigate the situation and report to the Council	Existing procedures adequate. Include when reviewing Financial regulations
Salaries and associated costs	Salary paid incorrectly. Unpaid Tax to Inland Revenue.	L L	Salary and payment of tax to HMRC approved by Council every month	Existing procedures adequate

Subject	Risk(s) identified	H/M/L	Management/control of risk	Review/assessment/revise
Employees	Fraud by staff. Health and safety	L L	Requirements of Fidelity Guarantee insurance adhered to with regards to fraud. All employees to be provided adequate direction and safety equipment needed to undertake their roles.	Existing procedures adequate. Monitor health and safety requirements and insurance annually.
VAT	Reclaiming/charging	L	The Council has Financial Regulations which set out the requirements	Financial Regulations adopted 2015
Annual Return	Submit within time limits	L	Annual Return is completed and submitted within the prescribed time frame by the Clerk. Annual Return completed & signed by the Council, submitted to Internal Auditor for completion	Existing procedures adequate
Legal Powers	Illegal activity or payments.	L	All activity and payments within the powers of the Parish Council to be resolved at full Council Meetings, including reference to the power used under the Finance section of agenda and Finance report monthly.	Financial Regulations adopted June 2015.
Minutes/agendas/ Notices, Statutory Documents.	Accuracy and legality.  Business conduct.	L	Minutes and agenda are produced in the prescribed manner by the Clerk and adhere to the legal requirements. Minutes are approved and signed at the next Council meeting.	Existing procedures adequate.

Subject	Risk(s) identified	H/M/L	Management/control of risk	Review/assessment/revise
		L	Agenda displayed according to legal requirements.	Published on Parish Council website and Noticeboard.
		M	Business conducted at Council meetings should be managed by the Chair.	Members adhere to Erewash Borough Council Code of Conduct
Members' Interests	Conflict of interests	L	Declarations of interest by members at Council meetings.	Existing procedures adequate
	Register of members' interests	M	Register of members interests forms reviewed regularly	Members take responsibility to update register
Insurance	Adequacy. Cost. Compliance. Fidelity Guarantee.	L L L M	An annual review is undertaken of all insurance arrangements. Employers and Employee liabilities a necessity and within policies. Ensure compliance measures are in place. Fidelity checks in place	Existing procedure adequate.  Insurance reviewed annually.
Data Protection	Policy provision	L	The Parish Council is registered with the Data Protection Agency.	Existing procedure adequate
Freedom of Information	Policy provision	L	The Council has a Model Publication scheme in place. To date there have been no requests under FOI.	Check Model Publication scheme.
		M	The Parish Council is aware that if a substantial	Monitor any requests made under FOI.

Subject	Risk(s) identified	H/M/L	Management/control of risk	Review/assessment/revise
			request came in it could create a number of additional hours work. The Parish Council can request a fee to	
Transparency and accountability.	Policy provision	M	The Council has adopted the Transparency Code for Smaller Authorities in accordance with the Local Audit and Accountability Act 2014	Review at AGM

#### PHYSICAL EQUIPMENT OR AREAS

Subject	Risk(s) identified	H/M/L	Management/Control of Risks	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.	Existing procedures adequate
Maintenance	Poor performance of assets or amenities.	L	All assets owned by the Parish Council are regularly reviewed and maintained. All repairs and relevant expenditure for any repair is actioned/authorised in accordance with the correct procedures of the Parish Council. Assets are insured.	Existing procedures adequate

Noticeboards	Risk of damage.	L	The Parish Council currently has three notice boards. No formal inspection procedures are in place but any reports of damage or faults are reported to the Parish Council and dealt with in accordance with the correct procedures of the Council.	Existing procedure adequate
Meeting locations	Adequacy. Health & Safety.	L M	The Parish Council meeting is held in a venue considered to have appropriate facilities for the Clerk, members and the general public	Existing procedure adequate
Council records – paper	Loss through: Theft. Fire. Damage.	M M M	The Parish Council records are stored at the Clerk's home and some at the Derbyshire County Council Records department. Records include historical correspondences, minutes, insurance, bank records. The documents are stored in lockable cabinets.	Existing procedure adequate.
Council records - electronic	Loss through: Theft, fire damage or corruption of computer.	M	The Parish Council electronic records are stored on the Clerk's personal laptop pending acquisition of Council laptop held with the Clerk at their home. Back ups of electronic data are made at regular intervals	Back up will be made upon acquisition of Council laptop.

Risk Assessment revised and approved at the Parish Council meeting on Thursday, 9 May 2016

