

Aylmerton 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.

APC/JW
January 2012
Reviewed July 2013 & July 2015
Next review July 2016

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	There is a business continuity plan in place: Chairman to contact Norfolk Association of Local Councils and Monitoring Officer at NNDC for assistance in finding temporary cover for clerk. Funds in budget for temporary clerk. Business continuity insurance cover. All documents backed up on USB stick.	Existing procedure adequate
Precept	Adequacy of precept Requirements not submitted to District Council Amount not received by District Council	L 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. At the Precept meeting 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 by the Clerk in writing to the District Council. The Clerk informs Council when the monies are received (approx May and Sept).	Existing procedure adequate
Financial Records	Inadequate records Financial irregularities	L L	The Council has Financial Regulations which set out the requirements. These are reviewed annually. A councillor is appointed to carry out internal control cheques.	Existing procedure adequate.
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. These are reviewed annually. The bank does make occasional errors in processing cheques which are discovered when the Clerk reconciles the bank accounts once a quarter when the statement arrive, these are dealt with immediately by informing the	Existing procedure adequate.

			bank and awaiting their correction.	
Cash	Loss through theft or dishonesty	L	The Council has Financial Regulations which set out the requirements. Cash received is banked within 3 banking days. There is no petty cash or float. The council has fidelity insurance.	Existing procedure adequate.
Reporting and Auditing	Information communication	L	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. Council annually appoints an Internal Auditor for Fidelity Compliance.	Existing procedures adequate.
	Compliance	M		
Direct costs Overhead expenses Debts	Goods not supplied but billed Incorrect invoicing	L L	The Council has Financial Regulations which set out the requirements and are reviewed annually. At each Council meeting the list of invoices awaiting approval is distributed to Councillors, and considered. The cheque signatories check each invoice against the cheque book and associated paperwork and initials a voucher. Council approves the list of requests for payment. The Council has minimal stocks, these are checked and monitored by the Clerk. Unpaid invoices to the Council for services are pursued and where possible, payment is obtained in advance.	Existing procedure adequate.
	Cheque payable incorrect	L		
	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, and is minuted and listed accordingly if a payment is made using the S137 power of expenditure. Council has adopted the General Power of Competence.	Existing procedure adequate.
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 set up, if required.

Charges – rentals payable	Payments of charges, leases, rentals	L	The Parish Council leases allotment land from The National Trust Invoices payable for the rental amounts are entered into the normal payment system for authorisation.	Existing procedure adequate.
Charges – rentals receivable	Receipt of rental	L	Allotments - The Clerk issues an agreement for usage along with the invoice. Both parties sign the agreement and the Parish Council copy is held in Parish Council records. The cheque is received and banked. The Parish Council is notified accordingly.	Existing procedure adequate. Review agreement and fees annually. Ensure payment and copy of insurance document received.
	Insurance implication	M	The allotment tenants are encouraged to take out their own public liability insurance.	
Best value Accountability	Work awarded incorrectly	L	Normal Parish Council practice isto 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.	Existing procedure adequate.
	Overspend on services	M		
Salaries and associated costs	Salary paid incorrectly Wrong hours paid Wrong rate paid False employee Wrong deductions of NI or Tax Unpaid Tax & NI contributions to the Inland Revenue	L L L L L L	The Parish Council authorises the appointment of all employees through a Personnel Committee. Salary rates are assessed annually by full council and applied on 1 April each year. Salary analysis and slips are produced by the Clerk monthly together with a schedule of payments to the Inland Revenue (for Tax and NI). These are inspected at the Council meetings and signed off. The Tax and NI is worked out using an Inland Revenue. The Clerk keeps a time sheet and has a contract of employment and job description. All contracts of employment contain a section on overpayment and recoup.	Existing procedure adequate.

Employees	Loss of key personnel	L	Reference to the Continuity Plan should be made in case of loss of key personnel.	Existing procedure adequate. Purchase revised books. Membership of the SLCC/Norfolk ALC. Monitor working conditions, safety requirements and insurance regularly.
	Fraud by staff	L	The requirements of the Fidelity Guarantee insurance to be adhered to with regards to Fraud.	
	Actions undertaken by staff	L	The Clerk should be provided with relevant training, reference books, access to assistance and legal advice required to undertake the role.	
	Health & Safety	L	Volunteer members of the General Purposes Working Group should be provided with adequate direction and safety equipment needed to undertake the roles, ie. protective clothing and training.	
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/M	Risk is higher in an election year. When an election is due the Clerk will obtain an estimate of costs from the District Council 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.	Existing procedure adequate
VAT	Re-claiming/charging	L	The Council has Financial Regulations which set out the requirements	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 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. It is good practice to include a reference to the power used.	Existing procedures adequate.

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 the legal requirements. Business conducted at Council meetings should be managed by the Chair. Members to adhere to Code of Conduct.	Existing procedure adequate. Guidance/training to Chair should be given (if required).
	Business conduct	L		
Members interests	Conflict of interest	L	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. Register of Members Interest forms should be reviewed regularly by Councillors. Members take responsibility to update their Register. The register of interests is available to the public via the parish council website.	Existing procedure adequate.
	Register of Members interests	M		
Insurance	Adequacy	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.
	Cost	L		
	Compliance	L		
	Fidelity Guarantee	M		
Data protection	Policy Provision	L	The Council is registered with the Data Protection Agency and is renewed annually.	Existing procedure adequate.
Freedom of Information Act	Policy	L	The Council has a model publication scheme for Local Councils in place. 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.	Existing procedure adequate.
	Provision	M		

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 assets or amenities Loss of income or performance Risk to third parties	L L 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. All public amenity land is inspected regularly by parish councillors / contractors. Allotment tenants are required to take out public liability insurance.	Existing procedure adequate.
Notice boards	Risk/damage/injury to third parties Road side safety	L L	The Parish Council has 1 notice board sited outside the Village Hall. Location has 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.
Street furniture	Risk/damage/injury to third parties	L	The Parish Council is responsible one bus shelters and one village sign and is covered by insurance. No formalised programme of inspections is carried out, all reports of damage or faults are reported to Council and/or dealt with.	Existing procedure adequate.
Meeting location	Adequacy Health & Safety	L M	The Parish Council Meetings are held at Aylmerton Village 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. 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)).	Damage (apart from fire) and theft is unlikely and so provision adequate. Deeds/leases to be copied and deposited off-site.
Council records - electronic	Loss through: Theft, fire, damage corruption of computer	LM	The Parish Council's electronic records are stored on the Clerks computer. Back-ups of the files are taken at regular intervals.	Back-up of electronic files should be produced each meeting and given to Chairman.
Village Pond	Risk to third parties	LM	The pond is under private ownership but maintained by the General Purposes Working Group. The Parish Council insurance covers public liability insurance. It also covers volunteers aged between 16 & 80 under the Personal Accident section of the insurance policy. The Parish Council should ensure that volunteers work in a safe environment and have access to the correct tools, personal protective equipment and clothing. Volunteers should not be asked to carry out a task that they are not physically or mentally able to carry out.	Refer to separate risk assessment for volunteer workers.
Allotments	Risk to third parties	L	Regular inspections of allotments by Clerk and Councillors. Annual review of tenancy agreements. Tenants responsible for own public liability insurance.	Existing procedure adequate.
Litter Picks	Risk to third parties	LM	Regular litter picks are organised. The Parish Council insurance covers public liability insurance. It also covers volunteers aged between 16 & 80 under the Personal Accident section of the insurance policy. The Parish Council should ensure that volunteers work in a safe environment and have access to the correct tools, personal protective equipment and clothing. Volunteers should not be asked to carry out a task that they are not physically or mentally able to carry out.	Refer to separate risk assessment for volunteer workers.