

Hope with Aston Parish Council

Parish Council Risk Assessment

Reviewed: 7th September 2020

Signed: *Dominic Swords*

Chair, Hope with Aston Parish Council

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.

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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 To be included into Emergency plan which is being drawn up	Review plan when necessary Emergency plan to be written
Precept	Adequacy of precept Requirements not submitted to District Council Amount not received from 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 time).	Existing procedure adequate See Financial Regulations. Review the Financial Regulations when necessary.
Financial Records	Inadequate records Financial irregularities	L L	The Council has Financial Regulations which set out the requirements.	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 arrive, these are dealt with immediately by informing the bank and awaiting their correction.	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	L	The Council has Financial Regulations which set out the	Existing procedure adequate.

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	dishonesty		requirements. Cash received is banked within 3 banking days. There is no petty cash or float.	Review the Financial Regulations when necessary.
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.	Existing communication procedures adequate.
	Compliance	M	Council should regularly audit internally to comply with the Fidelity Guarantee.	Council annually to appoint a Councillor Auditor for Fidelity Compliance.
Direct costs Overhead expenses Debts	Goods not supplied but billed	L	The Council has Financial Regulations which set out the requirements.	Existing procedure adequate. Review the Financial Regulations when necessary.
	Incorrect invoicing	L	At each Council meeting the list of invoices awaiting approval is distributed to Councillors, and considered.	
	Cheque payable incorrect	L	One Councillor is nominated to check each invoice against the cheque book and associated paperwork. Council approves the list of requests for payment.	
	Loss of stock	L	The Council has minimal stocks, these are checked and monitored by the Clerk.	
	Unpaid invoices	L	Unpaid invoices to the Council for adverts in the newsletter or services are pursued and where possible, payment is obtained in advance.	
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. A Grants Payable Policy is in the process of being prepared.	Existing procedure adequate. (A Grants Payable Policy is in the process of being prepared.) Parish Councillors request S137 rules if required.
Grants - receivable	Receipts of Grant	L	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 leases a room within the village for meetings, invoices payable for the rental amounts are entered into the normal payment system for authorisation.	Existing procedure adequate.

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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.	Existing procedure adequate. Include when reviewing Financial Regulations.	
	Overspend on services	M			
Salaries and associated costs	Salary paid incorrectly	L	The Parish Council authorises the appointment of all employees through a HR and Recruitment Advisory Committee. Salary rates are assessed annually by the same Committee and applied on 1 April each year. Salary analysis and slips are produced by the Clerk monthly together with a schedule of payments to HMRC (for Tax and NI). These are inspected at the Council meetings and signed off. The Tax and NI is worked out using an HMRC computer programme updated when appropriate. All Tax and NI payments are submitted to HMRC. 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 contributions to the Inland Revenue	L				
Employees	Loss of key personnel	L	Reference to the Continuity Plan should be made in case of loss of key personnel.	Existing procedure adequate.	
	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.		Purchase revised books. Membership of the SLCC/Derbyshire ALC Monitor working conditions, safety requirements and insurance regularly.
	Health & Safety	L	The Clerk should be provided with adequate direction and equipment to undertake their role safely.		
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	Risk is higher in an election year but the Council maintains a reserve to cover the cost of an election. When an election	Existing procedure adequate	

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			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.	
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	The End of Year Process completed and submitted online and to HMRC 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.	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.	Existing procedure adequate. Guidance/training to Chair should be given (if required).
	Business conduct	L	Business conducted at Council meetings should be managed by the Chair.	Members to adhere to Code 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 the individual Councillor.	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	Review insurance provision

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	Compliance Fidelity Guarantee	L M	and must be paid for. Ensure compliance measures are in place. Ensure Fidelity checks are in place.	annually. Review of compliance.
Data protection	Policy Provision	L	The Council is reviewing its Data Protection responsibilities.	Ensure annual review of registration
Freedom of Information Act	Policy Provision	L M	The Council is reviewing its responsibilities under the Freedom of Information Act.	Monitor and report any impacts of requests made under the F of I Act.

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 employees.	Existing procedure adequate. Ensure inspections carried out.
Notice boards	Risk/damage/injury to third parties Road side safety	L L	Parish Council has 4 notice boards sited around the parishes. 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.

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Street furniture	Risk/damage/injury to third parties	L	The Parish Council is responsible for a number of assets around the village and 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 L	The Parish Council Meetings are usually held at Hope Methodist 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 by the Clerk. Records include historical correspondence, minute books and copies, leases for land or property, records such as personnel, insurance, salaries etc. Recent materials are stored by the Clerk this is under review. Some historical records are stored by the Hope Historical Society.	Damage (apart from fire) and theft is unlikely and so provision adequate. Deeds 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.	All content on the Clerk's computer are backed up automatically on AOMEI cloud system every time the computer is switched off.