

Norton Lindsey 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 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.

FINANCIAL AND MANAGEMENT				
Subject	Risk(s) identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Business Continuity	<ul style="list-style-type: none"> 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. The Chairman holds a list of passwords for use in an emergency only. In the event of the Clerk being indisposed, the Chairman to contact the Warwickshire and West Midlands Association of Local Councils for advice.	Existing procedures adequate. Review when necessary.
Precept	<ul style="list-style-type: none"> Adequacy of precept in order for the Council to carry out its Statutory duties 	L	<p>The Council reviews the Precept requirement annually at the December/January meetings and reviews the current financial position and projection to year-end, along with the presented budget for the forthcoming year as prepared by the Clerk/RFO.</p> <p>With this information the Council then agrees the amounts set for the specific budget headings for the following year, and resolves the Precept amount to be requested from Warwick District Council. This figure is submitted by the Clerk in writing to Warwick District Council. The Clerk informs the Council when the monies are received (April and September).</p>	Existing procedure adequate.
Financial Records	<ul style="list-style-type: none"> Inadequate records Financial irregularities 	L	The Council has Financial Regulations which sets out the requirements. The Clerk presents reconciliations to the Council at each meeting, and there is a bi-monthly	Existing procedure adequate. Review the Financial Regulations annually.

			internal audit of the accounts carried out by a Councillor nominated each year at the Annual meeting.	
Bank and banking	<ul style="list-style-type: none"> Inadequate checks Bank mistakes 	L	The Council has Financial Regulations which set out the banking requirements. The Clerk reviews the Councils banking arrangements regularly.	Existing procedures adequate.
Reporting and auditing	<ul style="list-style-type: none"> Information communication Auditing 	L	Financial information is discussed, reviewed and approved at each meeting. There is a bi-monthly internal audit of the accounts carried out by a Councillor nominated each year at the Annual meeting.	Existing procedures adequate.
Grants - receivable	<ul style="list-style-type: none"> Receipt of grant 	L	The Council has Financial Regulations which set out requirements and procedures for receiving grants	Existing procedures adequate.
Grants and support - payable	<ul style="list-style-type: none"> Power to pay Authorisation of Council to pay 	L	As such expenditure is made in accordance with the Council's Grants Policy.	Existing procedures adequate.
Best value accountability	<ul style="list-style-type: none"> Work awarded incorrectly Overspend on services 	L/M	The Council has Financial Regulations which sets out the requirements and procedures.	Existing procedures adequate.
Salaries and associated costs	<ul style="list-style-type: none"> Salary paid incorrectly Unpaid Tax/NI to HMRC 	L	Salary is paid monthly by Standing Order. The Council assesses salary rates annually as per the National Joint Council for Local Government Services (NJC) pay scales, backdating any pay increase to 1 April if appropriate. The Clerk records hours worked and any overtime is paid at the hourly rate following authorisation by the Chairman. Salary is reported to HMRC in real time using the HMRC Basic Tools computer programme, which is updated annually. Tax and NI due is reported to the Council and paid to HMRC quarterly.	Existing procedure adequate.
Employees	<ul style="list-style-type: none"> Fraud by staff Health and safety 	L	Requirements of insurance adhered to with regards to fraud. The Clerk should be provided with adequate training and/or reference books, and allowed access to relevant assistance and legal advice required to undertake the role.	Existing procedure adequate. Purchase reference books and allow training where necessary. Membership of SLCC. Monitor health and safety requirements and insurance on a regular basis.
Election costs	<ul style="list-style-type: none"> Risk of an election cost 	L/M	Risk is higher in an election year. The Council makes provision by an annual increase to its election Reserve Fund.	Existing procedures adequate.
VAT	<ul style="list-style-type: none"> Reclaiming 	L	The Council has Financial Regulations which set out the requirements and procedures.	Existing procedures adequate.
Annual Return	<ul style="list-style-type: none"> Submit within time limits 	L	The Employers Annual Return is completed and submitted online, using the HMRC Basic Tools computer programme, within the prescribed time frame by the Clerk.	Existing procedures adequate.

			The Annual Governance and Accountability Return (AGAR) is submitted to the independent internal auditor, then completed and signed by the Council prior to sending to the External Auditor within the required time frame.	
Legal Powers	<ul style="list-style-type: none"> Illegal activity or payments 	L	All activity and payments within the powers of the Parish Council are resolved and Minuted at full Parish Council Meetings, including reference to the power used.	All activities and payments Minuted.
Minutes/agendas/ Notices/Statutory Documents	<ul style="list-style-type: none"> Accuracy and legality Business conduct 	L	Minutes, agendas, notices and other statutory documents 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. Agendas are displayed according to legal requirements. Business conducted at Council meetings should be managed by the Chair.	Existing procedures adequate. Members adhere to Code of Conduct.
Member liability	<ul style="list-style-type: none"> Declarations of conflict of interests Register of members interests Declarations of gifts and hospitality 	M	Councillors have a duty to declare any interests at the start of all meetings, which are then Minuted. Register of Members Interest forms to be reviewed regularly by Councillors.	Existing procedures adequate. Members to take responsibility to update their Register.
Insurance	<ul style="list-style-type: none"> Adequacy Cost 	L	A bi-annual review is undertaken of all insurance arrangements (prior to renewal). Employers and Employee Liability Insurance is a necessity. Ensure compliance measures and Fidelity checks are in place.	Existing procedure adequate. Review insurance provision bi-annually.
Public liability	<ul style="list-style-type: none"> Risk to third party, property or individuals 	M	Insurance is in place. Risk assessments and Health and Safety checks are regularly carried out to comply with requirements.	Existing procedures adequate. Ensure risk assessments and Health & Safety checks are carried out.
Employer liability	<ul style="list-style-type: none"> Non-compliance with employment law 	L	The Council complies with employment law and seeks advice from the Warwickshire and West Midlands Association of Local Councils as required. The Council issued the Clerk with an employment contract which is reviewed regularly, and evaluates any Health & Safety issues.	Existing procedures adequate.
Health & Safety liability	<ul style="list-style-type: none"> Risk to members, employees and members of the public 	L/M	The Council has a Health & Safety Policy and a separate Health & Safety Risk Assessment, and carries out regular health and safety checks.	Existing procedures adequate.
Legal liability	<ul style="list-style-type: none"> Legality of activities 	L/M	Clerk to clarify legal position on proposals and to seek advice if necessary, and to attend appropriate training	Existing procedures adequate.

	<ul style="list-style-type: none"> • Proper and timely reporting via Minutes • Proper document control 		courses and seminars. Council always receives and approves Minutes at monthly meetings. Document retention policy in place.	
Data protection	<ul style="list-style-type: none"> • Policy provision 	L	The Parish Council is registered with the Information Commissioners Office (ICO)	Ensure annual renewal of registration.
Freedom of Information	<ul style="list-style-type: none"> • Policy Provision 	L	The Council will react as necessary to requests. To date there have been no requests under FOI. The Council is aware that if a substantial request came in it could create a number of additional hours work. The Council can request a fee to supplement the extra hours.	Monitor and report any requests made under the Freedom of Information Act.
PHYSICAL DOCUMENTS, EQUIPMENT OR AREAS				
Assets	<ul style="list-style-type: none"> • Loss or damage • Poor performance of assets or amenities • Risk of Damage to third party property • Unsafe work by contractors/volunteers • Road side safety 	L	All assets are insured and are subject to an annual insurance review. All assets owned by the Council are regularly reviewed and maintained. All repairs and relevant expenditure for any repair or maintenance is actioned/authorised in accordance with the correct procedures of the Council. Risk is assessed prior to work being undertaken. The Council is responsible for replacing assets that are no longer fit for purpose. In order to minimise this risk, the Council holds a contingency sum in its General Reserves account.	Existing procedures adequate.
Meeting locations	<ul style="list-style-type: none"> • Adequacy • Health & Safety 	L/M	The Parish Council meeting is held in the Church Room or the Village Hall and these facilities are considered to be adequate for the Clerk, Councillors and the general public who attend from Health & Safety and comfort aspects. Equipment brought to the meeting by the Council is subject to the Council's review and maintenance schedule.	Existing procedures adequate.
Council records – paper	<ul style="list-style-type: none"> • Loss through theft or fire damage 	L/M	The Parish Council records are stored at the home of the Clerk. Records include historical registers, correspondences, minutes, insurance, and bank records. The documents are stored in a lockable metal filing cabinet. Members hold copies of historic agendas and minutes. Archive material is held in the County Records Office, and deeds are deposited off-site.	Damage (apart from fire) and theft is unlikely and so provision is adequate.

Council records – electronic	<ul style="list-style-type: none"> • Loss through theft, fire damage or corruption of computer 	L/M	The Parish Council electronic records are stored on the Council laptop held with the Clerk at her home. Back-ups of electronic data to an external hard drive are made at regular intervals.	Existing procedures considered adequate.
Web site	<ul style="list-style-type: none"> • Out of date • Hacked by third party • Non-compliant with legal regulations 	M	<p>The Clerk and members with access rights to the website ensure that content is updated regularly. The Council receives regular reports regarding the website.</p> <p>The Clerk keeps informed of relevant legislation and ensures the website is compliant with that legislation.</p>	Existing procedures considered adequate.