

Wysall and Thorpe in the Glebe 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 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
Precept	Adequacy of precept for the Council to carry out its Statutory duties	L	To determine the precept amount required, the Council regularly receives budget update information. 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 Rushcliffe District Council. The figure is submitted by the Clerk by email. The Clerk informs the Council when the monies are received.	Existing procedure adequate.
Financial Records	Inadequate records Financial irregularities	L L	The Council has Financial Regulations which sets out requirements.	Existing procedure adequate. Review the Financial regulations annually.

Subject	Risk(s) identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Bank and banking	Inadequate checks	L	The Council has Financial Regulations which set out banking requirements.	Existing procedure adequate.
	Banks mistakes	L	Regular reconciliation made with bank statement	Existing procedure adequate.
Reporting and auditing	Information communication	L	Financial information is a regular agenda item (Finance) and discussed/reviewed and approved at each meeting.	Existing procedures adequate.
Grants	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	Power to pay / authorisation of Council to pay	L	All such expenditure goes through the required Council process of approval, minuting and listing it in the financial records if a payment is made.	Existing procedure adequate.
Best value accountability	Work awarded Incorrectly.	L	The Council has Financial Regulations which set out requirements and procedures for both regular revenue payments and capital items.	Existing procedure adequate.
	Overspend on services.	L		Include when reviewing Financial regulations.
Salaries and associated costs	Salary paid incorrectly.	L	The Council has Financial Regulations which set out requirements and procedures. All salary payments approved by monthly meeting.	Existing procedure adequate.
Employees	Fraud by staff	L	Requirements of insurance adhered to with regards to fraud. Payments/invoices checked at meetings.	Existing procedures adequate.
	Health and safety	L	All employees to be provided adequate direction and safety equipment needed to undertake their roles.	Monitor health and safety requirements and insurance annually.
VAT	Reclaiming/charging	L	The Council has Financial Regulations which set out the requirements.	Existing procedures adequate.

Subject	Risk(s) Identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Annual Return	Submit within time limits	L	Employers Annual Return is completed and submitted online within the prescribed time frame by the Clerk. Annual Return completed and submitted to internal auditor for completion and signing then checked and signed by the Council, then sent to External Auditor (if applicable) within time frame.	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 Meeting under the Finance section of agenda and Finance report.	Existing procedures adequate.
Minutes/Agendas/ Notices Statutory Documents	Accuracy and legality Business conduct	L 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. Agenda displayed according to legal requirements. Business conducted at Council meetings should be managed by the Chair and adhere to relevant policies.	Existing procedures adequate. Members adhere to Code of Conduct.
Members interests	Conflict of interests Register of member interests	L M	Declarations of interest by members at Council meetings. Register of member interests' form reviewed and updated by members regularly.	Existing procedures adequate. Members take responsibility to update register and advise clerk/borough council.
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L M	An annual review is undertaken of all insurance arrangements. Employers and Employee liabilities is a necessity and within policies. Ensure compliance measures are in place. Fidelity checks in place.	Existing procedure adequate. Insurance reviewed annually.

Subject	Risk(s) identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Data protection	Policy provision	L	The Parish Council is registered with the Data Protection Agency.	Ensure annual renewal of registration.
Freedom of Information	Policy Provision	L M	The Council will react as necessary to requests. To date there have been no requests under FOI. The Parish Council is aware that if a substantial request came in it could create a certain number of additional hours work. The Parish Council can request a fee to supplement the extra hours.	Monitor any requests made under FOI.
PHYSICAL EQUIPMENT OR AREAS				
Assets	Loss or damage Risk/damage to third party property	L L	An annual review of assets is undertaken for insurance provision.	Existing procedures adequate. Annual review of the asset register.
Maintenance	Poor performance of assets or amenities Unsafe work by contractors	L L	All assets owned by the Parish 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 Parish Council. Assets are insured. Proper procedures followed in tender documents, risk assessed prior to work being undertaken.	Existing procedures adequate.
Notice Board	Risk of damage	L	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 of the correct procedures of the Council.	Existing procedures adequate.
Meeting locations	Adequacy Health & Safety	L L	The Parish Council meeting is held in a venue considered to have appropriate facilities for the Clerk, members and the public.	Existing procedures adequate.

Subject	Risk(s) identified	H/M/L	Management/Control of Risk	Review/Assess/Revise
Council records - paper	Loss through: Theft Fire Damage	L M L	The Parish Council records are stored in the home of the Clerk. Records include historical correspondence, minutes, insurance, and bank records. The documents are stored in a lockable cabinet. Members hold copies of historic agendas and minutes and can also be found on the website. Archive material is held in Notts County Council at the Records Office.	Damage (apart from fire) and theft is unlikely and so provision is adequate.
Council records - electronic	Loss through: Theft Fire damage Corruption of laptop	L M L	The Parish Council electronic records are stored on the Clerks shared laptop in her home. Backups of electronic data are automatic and made regularly to cloud storage. The laptop has virus protection.	Existing procedures considered adequate.
Web site	Out of date Hacked by third party	M L	Clerk to ensure content is updated following each meeting. The website is updated and maintained by third party. Maintained by reputable web service.	Existing procedures considered adequate.

Date of Adoption	
Date of Review	
Signature of Chairman	