

BARTON STACEY PARISH COUNCIL RISK ASSESSMENT

Management Issues					
Subject	Risk(s) Identified	H/M/L	Management and control of risk	Date Reviewed	Review/assess/revise RAG
Councillors	More than 7 vacancies at any one time, creating inquorate Council.	L	Council adopts either election or co-option process as appropriate. An election is out of the Parish Council's control. The co-option process begins with an advert, acceptance of applications, consideration of applicants and co-option vote at a Council meeting then appointment. Additional management of risk through succession planning and raising awareness of the Council's role to encourage active participation.	10/01/2018	Existing procedures adequate.
Duties	Risk of actions being ignored or not progressed.	L	Councillors are allocated specific actions and roles according to interests and qualifications.	10/01/2018	Existing procedures adequate,
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.	10/01/2018	Existing plan adequate
Litigation	Potential risk of legal action being taken against the Council	L	Public liability insurance covers general personal injury claims where the Council is at fault, but not spurious or frivolous claims - these cannot be insured against.	10/01/2018	Insurance is adequate for current requirements.
Meeting Location	Adequacy of size and any health and safety issues.	L	The Parish Council Meetings are held at the village hall and Poppies Centre The premises and the facilities are considered to be of adequate size for numbers attending. Health and safety issues are dealt with by the VHMC.	10/01/2018	Existing locations adequate.
Employees (Clerk)	Loss of key personnel Fraud by staff Actions undertaken by staff Health & Safety	L L M L	Reference to the Business Continuity Plan should be made in case of loss of key personnel. The requirements of the Fidelity Guarantee Insurance to be adhered to with regards to Fraud. The Clerk should be provided with relevant training, reference books, access to assistance and legal advice required to undertake the role. Working conditions, safety and insurance provisions	10/01/2018	Review of clerk's objectives to be carried out to ensure recommended training has taken place. Clerk already attended numerous courses since joining in Jan 2016. Looking into membership of SLCC. Booked to start CiLCA Jan 2018

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			to be regularly reviewed. Contract of employment in place for Clerk.		
Minutes/ Agendas/ Notices Statutory documents	Accuracy and legality Business conduct and accountability	L	Minutes and agenda are produced in the prescribed method by the Clerk and adhere to the legal requirements and best practice guidelines. Minutes are approved and signed at the following Council meeting. Minutes and agenda are displayed according to the legal requirements.	10/01/2018	Existing procedure adequate.
Legal Powers	Illegal activity or payments	L	All activity and payments within the powers of the Parish Council to be resolved at full Parish Council Meetings, including a reference to the power used. Clerk to act only within set guidelines and powers. Councillors training needs reviewed regularly. Councillors to be requested to review Code of Conduct, Financial Regulations and Standards annually	10/01/2018	Existing procedure adequate
Members interests	Conflict of interest Register of Members interests	L	Declaring of interests by members remains as an agenda item at all meetings. Register of Members Interest forms reviewed regularly at the AGM in May by Councillors.	10/01/2018	Existing procedure adequate.
Records and Documentation					
Subject	Risk(s) Identified	H/M/L	Management and control of risk	Date Reviewed	Review/assess/Revise
Council Records (Paper)	Risk of loss through theft, fire, damage	M	The Parish Council records are stored at the home of 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 in A4 lever arch files (not fire proof) and older more historical records in the attic. On going storage of all old documents and any relevant documents, to be retained, and others will be taken to HCC record office. Scanning of all key documents to be considered	10/01/2018	Existing procedures adequate
Council Records	Loss through: Theft, fire, damage	L	The Parish Council's electronic records are stored on the Clerk's computer. Back-ups of the files are taken	10/01/2018	Existing procedures adequate.

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Electronic	corruption of computer		weekly and stored on a stick and stored in a fireproof safe.		
Freedom of information	Policy Provision	M M	The Council has a model publication scheme for Local Councils in place. The Clerk is aware that if a substantial request arrives then this may require many hours of additional work.	10/01/2018	Review method of dealing with any request and ensure adequate plan in place.
Data Protection	Policy Provision	L M	The Council is registered with the Data Protection Agency to minimise risk. Renewal completed via DD. Council aware of new EU GDPR coming into force in May 2018. Awaiting instructions from HALC. Council need to agree on a Data Protection Policy (including Data retention period) and appoint a Data Protection Officer	10/01/2018	Review procedures once new GDPR comes into effect (May 2018)
Financial Issues					
Subject	Risk(s) Identified	H/M/L	Management and control of risk	Date Reviewed	Review/assess/Revise
Precept	Adequacy of precept	L	A business timetable has been adopted. The budget process takes place over a number of meetings in the Autumn to enable the proposal to be adopted at the January PC meeting.	10/01/2018	Existing procedures adequate
	Requirements not submitted to TVBC	L	Clerk submits approved budget in January.	10/01/2018	Existing procedures adequate
	Amount not received	L	Clerk monitors receipt and notifies Council when payment received (May/October). If not received Clerk would be aware and action accordingly.	10/01/2018	Existing procedures adequate
Financial Records	Inadequate records Financial irregularities	L L	The Council has Financial Regulations which are annually reviewed and appropriately used by all councillors. To review financial records in line with Business Timetable.	10/01/2018	Existing procedures adequate
Bank and Banking	Inadequate Checks	L	The Council has Financial Regulations which set out the requirements for banking cheques and reconciliation of accounts. Cheques require two signatories and monthly accounts are presented at FC meetings. Online banking still requires 2 signatories before Clerk can make payment	10/01/2018	Existing procedures adequate
	Bank Mistakes	L	The bank does make occasional errors in processing		

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			payments which are discovered when the clerk reconciles the bank accounts, these are dealt with immediately by informing the bank and awaiting their correction		
Reporting & Auditing	Information Communication	L	A monitoring statement is produced regularly and presented to Council, discussed and approved at the meeting. This statement includes bank reconciliation, budget update, and a breakdown of receipts and payments balanced against the bank.	10/01/2018	Existing procedures adequate
Income/ Expenditure	Incorrect invoicing Cheques payable incorrect Loss of stock Unpaid invoices	L L L L	The Council has Financial Regulations which set out the requirements. At each Council meeting the list of invoices awaiting approval is distributed to Councillors and considered. Two councillors check each invoice against the Clerk's statement. Online spot checks re payments by signatory. Council approves the list of requests for payment. The Council has minimal stocks, these are checked and monitored by the Clerk. Unpaid invoices are pursued.	10/01/2018	Existing procedures adequate
Grants and Support payable	Abuse of power to pay	L	All such expenditure goes through the required Council process of approval and listed accordingly if a payment is made using the S137 power of expenditure.	10/01/2018	Existing procedures adequate
Grants receivable	Receipt of grant	L	The council does not presently receive any regular grants. One off grants would come with terms and conditions to be satisfied.	10/01/2018	Procedure would need to be formed, if required
Best Value accountability	Work awarded incorrectly Overspend on services	L L	Normal Parish Council practice, in line with Financial regulations, would be to seek more than one quotation for any substantial work required to be undertaken or goods. This is routinely adhered to. For major contract services, formal competitive tenders would be sought. If an overspend is incurred the Clerk investigates the situation and reports to Council. This is covered in the Financial Regulations. Detailed budget planning each year reduces overspend risk.	10/01/2018	Existing procedures adequate.
Petty Cash or	Loss through theft or	L	The Council has Financial Regulations which set out	10/01/2018	Existing procedures adequate

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loss	dishonesty		the requirements and limit Clerks spending authority. Cash/cheques received are banked within 3 banking days. There is no petty cash or float.		
Election Costs	Risk of an election cost	L/M	There are no measures which can be adopted to minimise the risk of having elections, as this is a democratic process. The Council has ring fenced funds in case of an election at a four year interval but by-elections need to be considered.	10/01/2018	Existing procedures adequate
VAT	Reclaiming	L	The Council has Financial Regulations which set out the requirements. VAT to be claimed quarterly. Clerk to monitor VAT on an ongoing basis.	10/01/2018	Existing procedures adequate but clerk to ensure VAT reclaimed quarterly.
Audit	Submit within time limits	L	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. Also now included in Business Timetable to ensure adequate preparation.	10/01/2018	Existing procedure adequate.
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L M	A review is undertaken (before the time of the policy renewal) of all insurance arrangements in place.	10/01/2018	Existing procedure adequate.
Salary costs	Salary paid incorrectly Wrong deductions of NI or Tax Unpaid Tax & NI contributions to the Inland Revenue	L L L L	Salary rates are assessed annually by a Committee and applied on 1 April each year. Clerk provides a monthly work sheet which is signed off at Council meeting. Salary slips would be produced by the Clerk monthly if required (for Tax and NI). Tax and NI is worked out using an Inland Revenue computer programme updated annually. All Tax and NI payments are submitted in the Inland Revenue Annual Return. Pension provided for Clerk with NEST set up Oct 2017	10/01/2018	Existing payment system is adequate.
Assets					
Subject	Risk(s) Identified	H/M/L	Management and control of risk	Date Reviewed	Review/assess/Revise
Assets	Loss or Damage Risk/damage to third party(ies)/property	L	A review of assets is undertaken for insurance provision, storage and maintenance requirements. Routine playground maintenance and checks take	10/01/2018	Council member routinely checks playground. Ensure PC has a Councillor with trained playground needs

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			place by trained council member. Public liability insurance held.		
Street furniture	Risk/damage/injury to third parties	L	The Parish Council is responsible for street lights and other items listed in the asset register. Whilst no formalised programme of inspections is carried out by the Council of street furniture (inc defibrillators) , footpaths have allocated monitors within the village and all reports of damage or faults are reported to Council and dealt with.	10/01/2018	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 employee/councillor/contractor.	10/01/2018	Existing procedure adequate.

Signed

Chairman

Dated.....

Clerk

Dated.....

Approved at the meeting of2018

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 address 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**