

“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.

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.	Review plan when necessary.
Precept	Adequacy of precept.	L	The clerk develops a recommendation for the next year’s precept based on previous years and foreseeable expenditure. It is presented, discussed and agreed under minute at the December meeting.	Existing procedure adequate
	Requirements not submitted to District Council.	M	The district council notify the clerk how and when to submit the request. The completed request is sent in good time both electronically and by recorded delivery.	Existing procedure adequate
	Amount not received by District Council.	L	The clerk would contact the district council to resolve the problem.	Existing procedure adequate

Financial Records	Inadequate records or financial irregularities.	L	The Council has Financial regulations which set out the requirements.	Existing procedure adequate. Review the Financial Regulations annually.
Bank and Banking	Inadequate checks, bank mistakes, loss and charges.	L	The Council has Financial Regulations which set out the requirements for banking and reconciliation of accounts. The bank does make occasional errors which are discovered when the Clerk reconciles the bank statement and these are dealt with immediately by informing the bank and awaiting their correction.	Existing procedure adequate. Review the Financial Regulations annually and bank signatory list when necessary. Process the bank statements on receipt.
Cash	Loss through theft or dishonesty.	L	The Council has Financial Regulations which set out the requirements. Cash received is banked within 10 banking days. There is no petty cash or float.	Existing procedure adequate. Review the Financial Regulations Annually.
Reporting and Auditing	Information communication.	L	A summary of the council's bank accounts is published on the website at the same time an agenda is published.	Existing communication procedures adequate.
	Compliance	M	The council conducts annual internal audits.	Council annually to appoint a councillor auditor.
Direct costs Overhead expenses Debts	Goods not supplied but billed, Incorrect invoicing, cheque payable incorrect	L	The Council has Financial Regulations which set out the requirements. At each Council meeting invoices awaiting approval are considered for payment under minute. Cheques are validated by the councillors signing them.	Existing procedure adequate. Review the Financial Regulations annually.
Grants and support - payable	Authorisation of Council to pay	L	All requests for grants are made in writing, reported to the members, and actioned as per the decision of the members under minute. S137 payments are recorded.	Existing procedure adequate. Parish Councillors request a S137 rules if required.
Grants - receivable	Receipts of Grant	L	Application for, and receipt of grants is reported under minute, and administered according the terms and conditions attached to them.	Existing procedure adequate.
Charges – rentals payable	Payments of charges, leases, rentals	L	The Parish Council leases the Community Space from Shirley PCC-invoices pay able for the rental amounts will be/are entered into the normal payment system for authorisation.	Existing procedure adequate

Charges – rentals receivable	Receipt of rental	L	The council receives no rental income.	No procedure required.
Best value accountability	Work awarded incorrectly and overspend on services.	L	Authority to request quotes and to proceed with a contract must be granted to the clerk under minute.	Existing procedure adequate. Include when reviewing Financial Regulations.
Salaries and associated costs	Salary paid incorrectly, Wrong hours paid, Wrong rate paid, False employee, Wrong deductions of NI or Tax and Unpaid Tax & NI contributions to the Inland Revenue.	L	The Parish Council authorises the appointment of all employees through a Personnel 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 quarterly 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 computer programme updated annually. All Tax and NI payments are submitted in the Inland Revenue Annual Return. The Clerk does not keep a time sheet and has a contract of employment and job description. All contracts of employment contain a section on overpayment and recoup.	Existing appointment and payment system is adequate.
Employees	Loss of key personnel, fraud by staff, actions undertaken by staff, health and safety	L	Reference to the Continuity Plan should be made in case of loss of key personnel who are given every opportunity for training. Fraud is covered by insurance and the Staff Handbook covers H&S and other matters.	Existing procedure adequate. Staff handbook to be reviewed bi-annually.
Councillor allowances	Councillors over-paid and income tax deduction	L	No allowances are allocated to Parish Councillors	No procedure required.
Election costs	Risk of an election cost	L	The council builds up reserves each year to cover the cost based on previous elections.	Existing procedure adequate.
VAT	Re-claiming/charging	L	The Council has Financial Regulations which set out the requirements.	Existing procedure 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.	Existing procedure adequate.

			Minutes are approved and signed at the next Council meeting. Minutes and agenda are displayed according to the legal requirements.	
Meetings	Business conduct	L	Business conducted at Council meetings is managed by the Chair.	Members to adhere to Code of Conduct. Training to Chair can be given if required.
Members interests	Conflict of interest and Register of Members interests	L/M	Declaration of interests are recorded and is on the agenda of all ordinary meetings.	Members take responsibility to update the Register.
Insurance	Adequacy, Cost, Compliance and Fidelity Guarantee	L/L/L/M	An annual review is undertaken in March each year 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. Review insurance provision annually. Review of compliance.
Data protection	Policy provision	L	As from May 2017 the Council will be registered with the Data Protection Agency and since 2018 is registered with the Information Commissioners Office as per GDPR 2018.	Review and renew registration annually.
Freedom of Information Act	Policy	L	The Council has a model publication scheme published on the website.	Monitor and report any impacts of requests made under the FoI Act.
<b>Physical Equipment and Areas</b>				
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 and risk to third parties.	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.	Existing procedure adequate. Ensure inspections carried out.
Notice boards	Risk/damage/injury to third parties and road side safety.	L	Parish Council has one of notice board sited in the parish. All locations have approval by relevant parties, insurance cover, inspected regularly by the Clerk. Any repairs/maintenance requirements	Existing procedure adequate.

			brought to the attention of the Parish Council. Keys held by the Chairman.	
Street furniture	Risk/damage/injury to third parties.	L	The Parish Council is responsible for 1 bench 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 dealt with.	Existing procedure adequate
Meeting location	Adequacy, health and safety	L	The Parish Council Meetings are held in the community space of St. Michael's church which is considered to be adequate for the clerk, councillors and public who attend from health, safety and comfort aspects.	Existing locations adequate.
Council records – paper	Loss through theft, fire or damage	L/M	The parish council's records are stored at the clerk's home. Records are held in lever arch files and are not fireproof. Since 2015 agenda, minutes, correspondence are also held off-site on the village website and since 2018 all the computer is backed up bi-annually to a hard drive kept off-site. Older more historical records are in the Derbyshire Records Office.	Damage (apart from fire) and theft is unlikely and so provision adequate.
Council records - electronic	Loss through theft, fire, damage or corruption of computer	L/M	The parish council's electronic records are stored on the Clerk's computer at the clerk's home. Back-ups are dynamically taken and stored on the clerk's own file server. Since 2015 agenda, minutes, correspondence are also held off-site on the village website and since 2018 all the computer is backed up bi-annually to a hard drive kept off-site.	Existing procedure adequate.

## Related Documents

This document is based on the Derbyshire Association of Local Council's risk assessment template amended to meet the needs of Shirley parish council.