

Aylburton Parish Council Risk Assessment Adopted April 2021

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	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 electronic files to an external hard drive. In the event of Clerk being indisposed, the Chairman to contact GAPTC for advice.	Existing procedures considered adequate.
Minutes/agendas/ Notices Statutory Documents	Accuracy and legality	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.	Existing procedures considered adequate.
	Business conduct	L	Agenda displayed according to legal requirements. Business conducted at Council meetings should be managed by the Chair.	Members adhere to Code of Conduct
Employees	Fraud by staff	L	The requirements of the Fidelity Guarantee insurance to be adhered to with regards to Fraud.	Existing procedures considered adequate.
	Actions Undertaken	L	The Clerk should be provided with relevant training, reference books, access to assistance and legal advice required to undertake the role.	
	Loss of Clerk	M	In the event of the Clerk resigning the Council will enlist the support of GAPTC until a replacement has been appointed.	It is important to maintain membership of GAPTC.

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Precept	<p>Adequacy of precept in order for the Council to carry out its Statutory duties</p> <p>Requirements not submitted to FoDDC</p> <p>Amount not received by FoDDC</p>	L	<p>The Council reviews the Precept requirement annually at the December meeting and reviews the presented budget update information, including actual position and projected position to year end and estimated figures for the next financial year. With this information the Council then agrees the amounts set for the specific budget headings for the following year, the total of which is resolved to be the precept amount to be requested from Shropshire Council. This figure is submitted by the Clerk in writing to FoDDC. The Clerk informs Council when the monies are received (approx April time)</p>	Existing procedures considered adequate.
Financial Records	<p>Inadequate records</p> <p>Financial irregularities</p>	L L	<p>The Council has financial regulations, which set out the requirements, ensuring transparency and regular internal controls checks. The clerk reports income and spending every month.</p>	Existing procedures considered adequate. Financial Regulations to continue to be reviewed every year.
Bank and banking	<p>Inadequate checks</p> <p>Bank's mistakes</p> <p>Loss</p> <p>Charging</p>	L L L L	<p>The Council has Financial Regulations that set out the requirements for banking, cheques and reconciliation of accounts. If the bank made an error this would be discovered when the Clerk reconciles the bank accounts once a month when the statements arrive. These are dealt with immediately by informing the bank and awaiting their correction. The Council's banking arrangements are reviewed periodically.</p>	Existing procedures considered adequate.

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Cash	Loss through theft or dishonesty	L	The Council has Financial Regulations that set out the requirements. Cash received is banked within 3 banking days. No Petty Cash is held. The Council's insurance policy has a Fidelity Guarantee.	Existing communication procedures adequate.
Direct costs and expenses	Goods not supplied but billed	L	The Council has Financial Regulations that set out the requirements. At each Council meeting the list of invoices awaiting approval is distributed to Councillors, and considered. Council approves the list of requests for payment.	Existing procedures considered adequate
	Incorrect invoicing	L		
	Cheque payable incorrect	L		
	Unpaid invoices	L		
Reporting and auditing	Information communication	L	Financial information is a regular agenda item and is discussed and reviewed every quarter at least	Existing procedures considered adequate.
Grants (incoming)	Risk of loss of grant/wrong amount paid.	L	The council's financial regulations set out how grants should be received. All receipts are reported to the Council at the next meeting of the Council. Any one-off grants awarded would come with terms and conditions to be satisfied.	Existing procedures considered adequate.
Grants (outgoing to local charities)	Authorisation of council to pay. Transparency.	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.	Existing procedures considered adequate.
Best value accountability	Work awarded incorrectly. Overspend on services.	L M	As per Financial Regulations 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 procedures considered adequate.

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Salaries and assoc. costs	Salary paid incorrectly Wrong hours paid Wrong rate paid False employee Wrong deductions of NI/Tax Unpaid Tax/NI	L L L L L L	The Parish Council authorises the appointment of any Clerk within a council meeting. Salary rates follow the NJC national pay scale and are assessed annually by the Council and applied on 1st April each year. Salary is paid monthly by cheque or BACS. The Tax and NI contributions due are reported to the Council and signed off periodically. Payroll is outsourced to PATA Payroll Service. All Tax and NI payments are submitted by PATA in the Inland Revenue Annual Return.	Existing procedures considered adequate.
Payroll	Breach of employment laws including tax	L	Payroll is outsourced to a payroll company. GAPTC provide details of relevant changes in employment law.	Existing procedures considered adequate.
Election costs	Risk of election cost undercutting provision of statutory services.	L	The council has a reserve fund for parish council elections specifically as well as a healthy reserve fund in general to withstand unexpected essential expenditure.	Existing procedures considered adequate.
VAT	Reclaim/charging – claim deadlines missed/money out of pocket for unnecessarily long time and charged back to the wrong cost code	L	The council has financial regulations which set out the requirements. VAT recovered at least annually.	Existing procedures considered adequate.
Annual Return	Missed deadlines, lack of legal compliance.	L	AGAR is completed and signed by the Council and the Internal Auditor. It is then checked and forwarded to the External Auditor within time limit. Clerk prepares a timetable for submission.	Existing procedures considered adequate.

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Legal Powers	Illegal activity or payments	L	All activity and payments within the powers of the Parish Council to be resolved at full Council Meetings, including reference to the power used under the Finance section of agenda and Finance report monthly.	Existing procedures considered adequate.
Members' interests	Conflict of interests Register of members interests	L M	Declarations of interest by members at Council meetings. Register of members' interests forms reviewed regularly.	Existing procedures considered adequate. Members take responsibility to update register
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L M	An annual review is undertaken of all insurance arrangements. Employers and Employee liabilities a necessity and within policies. Ensure compliance measures are in place. Fidelity checks in place.	Existing procedures considered adequate. Insurance reviewed annually.
Data Protection	Privacy breach or sensitive data stored with no reason.	L	The parish council is registered with the Information Commissioner's Office and renews annually, prompted by a renewal notice. The council has a Data Protection and Privacy Policy.	Ensure annual renewal of registration.
Freedom of information	Lack of transparency Extra cost through administrative time taken in the event of a FOI request.	L	The council will fulfil its legal obligation to react to requests. To date there have been no FOI requests. The Parish Council is aware that if a substantial request came in it could create a number of additional hours work. The Parish Council can request a fee to supplement the extra hours	Existing process adequate.

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Meeting locations	Adequacy Health and Safety	L M	Parish council meetings are held in a venue considered to have appropriate facilities for the Clerk, members and the general public. It is hired from an organisation that has its own risk assessment and procedures.	Existing procedures considered adequate.
Council records – paper	Loss through: Theft Fire damage	L M	The Parish Council records are stored at the home of the Clerk. Records include historical correspondences, minutes, insurance, and bank records. The documents are stored in a lockable cabinet and the house has two smoke alarms and general domestic fire prevention precautions are taken.	Damage (apart from fire) and theft is unlikely and so provision is adequate.
Council records – electronic	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 are made at regular intervals.	Existing procedures considered adequate
Website	Out of date information Hacked by third party		Clerk endeavours to ensure content is updated following each meeting. Managed by reputable local company (A R Web Design)	Existing procedures considered adequate.
ASSETS				
Assets – street furniture, open spaces	Loss or damage Risk/damage to third party property	L L	All assets inspected regularly and the council keeps an asset register up to date, with insurance being held at the appropriate level for all items. Any repairs/maintenance requirements brought to the attention of the Parish Council.	Existing procedures considered adequate
Maintenance	Poor performance of assets or amenities	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.	Existing procedures considered adequate

	Unsafe work by contractors	L	Proper procedures followed in tender documents, risk assessed prior to work being undertaken.	
LIABILITY				
Subject	Risk(s) identified	H/M/L	Management/control of Risk	Review/Assess/Revise
Legal Powers	Illegal activity or payments	L	All activity and payments made within the powers of the parish council and to be resolved and clearly minuted.	Existing procedures considered adequate.
	Working parties taking decisions	L	The only working party is the Road Safety Group which includes members of the council and can only make recommendations to the council and not decisions on behalf of the council.	Monitor on a monthly basis.
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. Business conducted at Council meetings should be managed by the Chair	Existing procedures considered adequate. Guidance/training to Chair should be given (if required). Members to adhere to Code of Conduct.
	Business conduct	L		
Public Liability	Risk to third party, property or individuals	M	Insurance is in place. Risk assessment review carried out periodically.	Existing procedures considered adequate. Ensure risk assessments are carried out.
Employee Liability	Causing injury / damage to employee property	L	Employer's liability insurance in place.	Existing procedures considered adequate.

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Councillor Liability	Causing injury / damage to councillors	L	Insurance cover in place.	Existing procedures considered adequate.
Employer Liability	Non-compliance with employment law	L	Undertake adequate training and seek advice from GAPTC.	Existing procedures considered adequate.
Legal Liability	Legality of activities	M	Clerk to clarify legal position on proposals and to seek advice if necessary. Council always receives and approves Minutes at monthly meetings. Retention of document policy in place.	Existing procedures considered adequate.
	Proper and timely reporting via Minutes	L		
	Proper document contro	L		
COUNCILLORS' PROPRIETY				
Members' interests	Failure to declare interests threatening impartiality of decision-making by the council, and bringing the council into disrepute	M	Councillors have a duty to declare any interests at the start of the meeting. Register of Members Interest forms to be reviewed regularly by Councillors.	Existing procedures considered adequate. Members to take responsibility to update their Register.
Councillors and Staff Actions	Bringing the Council into disrepute	M	New councillors provided with a copy of 'Good Councillor Guide' and other useful information. Councillors are encouraged to identify training needs.	Councillors have not received training