

Church Lawton Parish Council Risk Assessment.

This version dated October 2016

Review date – October 2017

Notes

The greatest risk facing a Local Authority is not being able to deliver the activity or services expected from the Council.

Risk Assessment is a general systematic 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 necessary and practical steps to reduce or eliminate the risks, in so far as is reasonably practicable. 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 to 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 amend if required.

Subject	Risk(s) Identified	H/M/L	Management / Control of Risk	Review / Assess / Revise
1. Business Continuity	Parish Council not being able to continue its business due to unexpected, or tragic circumstances	L	There is a business continuity plan in place detailed in the Standing Orders document.	Review when necessary
2. Precept	Adequacy of Precept Requirements not submitted to Cheshire East Council Amount not received from Cheshire East Council	L L L	To determine the precept amount required the Parish regularly receive budget update information and the precept is an agenda item for full Council. At the precept meeting Parish Council receives a budget update report, including actual position and projected position to end the year and indicate figures/ costings obtained by the Clerk/RFO. With this information the Parish Council decides the monies for revenue costs and capital 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 Cheshire East Council. This figure is submitted in writing by the Clerk to Cheshire East Council. The Clerk informs the Parish Council when the monies have been received.	Existing procedure adequate.
3. Financial Records	Financial records Financial irregularities	L L	The Parish Council has Financial Regulations which set out the requirements	Existing procedure adequate. Financial Regulations are reviewed annually.
4. Bank and Banking	Inadequate checks Bank mistakes Loss Charges Loss of signatories	L L L L	The Parish Council has Financial Regulations which set out the requirements for banking, cheques, and reconciliation of accounts. The Bank does make occasional errors which are discovered when the Clerk reconciles the bank accounts once a month when the statements are received, these are dealt with immediately by informing the Bank and awaiting their correction. Monitor the bank statements monthly. Council would choose replacements but the bank takes time to implement the changes	Existing procedure adequate.

Subject	Risk(s) Identified	H/M/L	Management / Control of Risk	Review / Assess / Revise
5. Direct Costs Overhead Expenses Debts	Goods not supplied but billed Cheque payable not correct Unpaid Invoices	L L L	The Parish Council has Financial Regulations which set out the requirements Parish Council approves list of requests for payments Unpaid invoices to the Parish Council for services are pursued.	Existing procedures are adequate
6. Employees	Fraud by employee Action taken by staff	L L	The requirements of the Fidelity Guarantee Insurance to be adhered to with regard to fraud. The Clerk should be provided with relevant training, reference books, access to assistance and legal advice to undertake the role.	Existing procedures are adequate Purchase of revised books when required. Monitor safety requirements and insurance regularly
7. Salaries, Pensions, and associated Costs	Salary paid incorrectly Wrong Deduction of NI and Tax / Pensions Unpaid Tax and NI to HM Revenue & Customs	L L L	The Parish Council authorises the appointment of the Clerk. Salary rates are reviewed annually. Salary analysis & payslips are produced by the CVS, Cheshire East. The CVS also completes & submits the RTI Full Payment Submission (FPS) & Employers Summary for Tax Period. (The FPS replaces the Annual Return as it is Real Time Information - RTI) The Clerk does not keep a timesheet but has a Contract of Employment and Job Description.	Existing procedures are adequate

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8. VAT	Re-Claiming / Charging	L	The Parish Council do not charge VAT. It is entitled to reclaim VAT paid on goods and services and reclaims are made during the year.	Existing procedures are adequate
9. Reporting and Audit	Compliance Information communication	L	Financial information is a regular agenda item and discussed/reviewed and approved at each meeting. An 'in house' audit is conducted at least quarterly by a nominated councillor. The current nominated Councillor will not sign cheques. The Annual return is prepared and signed by the Parish Council and sent to the External Auditor within the time limit.	Existing procedures adequate.
10. Best Value Accountability	Work awarded incorrectly Overspend on services	L M	Normal Parish Council practice is to strive to seek 3 quotations for any substantial work to be undertaken or supply of goods. The procedure to be followed is laid down in Financial Regulations which are reviewed annually.	Existing procedure adequate.
11. Election Costs	Risk of Election Costs	L / M	Risk is higher in Election year. When election is due the Clerk ascertains from Cheshire East Council an estimate of the costs for a full and for an uncontested election. There are no measures which can be adopted which will minimise the risk of having a contested election as this is a democratic process and should not be stifled	Existing procedure adequate.
12. Litigation	Potential risk of legal action being taken against the Council	M	Public Liability insurance covers general personal injury claims where the Parish Councils found to be at fault, but not spurious or frivolous claims – these cannot be insured against.	Existing procedure adequate
13. Legal Powers	Illegal activity or payments	L	All activity and payments within the powers of the Parish Council to be resolved and minuted at full Parish Council Meetings.	Existing procedures adequate

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14. 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 Parish Council meeting. Agenda displayed according to legal requirements. Business conducted at Parish Council meetings should be managed by the Chair	Existing procedures adequate. Members adhere to Code of Conduct
15. Members interests	Conflict of interests Register of members' interests	L M	Declarations of interest by members at Parish Council meetings. Register of members' interests forms reviewed regularly.	Existing procedures adequate.
16. Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L M	An annual review is undertaken (before the time of the policy renewal) of all insurance arrangements in place. Employers, Employees, and Public Liability insurance is necessary and must be paid for. Ensure compliance measures are in place, Ensure fidelity checks are in place	Existing procedure adequate. Review insurance provision annually.
17. Freedom of Information	Policy Provision	L M	The Parish Council has a Model Publication scheme in place. To date there has been no requests under Freedom of Information (FOI). 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.	Monitor any requests made under FOI
18. Parish Council Records – Paper	Loss through theft, fire, or damage	L	Current working documents and more recent historical minutes and accounts kept by Clerk. Periodically, historic Minute Books are deposited at Cheshire Record Office.	Damage (apart from fire) and theft is unlikely and so provision is adequate

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19. Parish Council Records – Electronic	Loss through theft, fire, data corruption, or physical damage	M	The Councils electronic records are stored on the Councils laptop held by the Clerk and also in a Cloud storage. Data backups are taken at regular intervals onto a hard drive storage device.	Backups made to hard drive storage.
20. Assets	Loss or Damage Risk / damage to third party(ies) property	L L	An annual review undertaken for insurance provision, storage and maintenance provisions	Asset register to be reviewed at least annually.
21. 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 with the correct procedures of the Parish Council. All assets are insured and reviewed annually.	
22. Street Furniture	Risk / damage / injury to third parties	L	The Parish Council is responsible for 1 Bus shelter, 5 boundary signs, 4 seats, 6 notice boards, 3 planters, and 8 hanging baskets all of which are covered by insurance. No formalised programme of inspections is carried out, all reports of damage or faults are reported to Parish Council and are dealt with.	Existing procedure adequate.
23. Meeting Location	Adequacy Health & Safety	L M	The Parish Council meetings are held at the Lawton Memorial Hall. The premises and the facilities are considered to be adequate for the Clerk, Councillors, and Public who attend from Health & Safety and comfort aspects	Existing procedure adequate.

Signed : Date (Chairman of Church Lawton Parish Council)