

Gaydon 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 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

Subject	Risk(s) identified	H/M/L	Management/control of Risk	Review/Assess/Revise
FINANCIAL AND MANAGEMENT				
Councillors	Losing Councillor membership or having more than four vacancies at any one time	L	<p>When a vacancy arises there is a legal process to follow. This either leads to a bye-election or a co-option process. 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.</p> <p>If there are more than four vacancies at any one time on the Council it becomes inquorate. In the event this happens responsibility passes to Stratford on Avon District Council to form a quorate Parish Council</p>	<p>Existing procedures adequate</p> <p>Existing procedures adequate</p>
Business Continuity	Risk of Council not being able to continue its business due to an unexpected or tragic circumstance	L	Business Continuity Plan	Existing procedures adequate

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Unavailability of Clerk and/or Responsible Financial Officer	<p>Risk to continuity of management of business/financial records</p> <p>No/inadequate handover of records between outgoing and incoming clerk and/or Responsible Financial Officer</p>	<p>L</p> <p>L</p>	<p>Business continuity plan</p> <p>Follow Handover procedures</p>	<p>Existing procedure adequate</p> <p>Handover procedures to be reviewed and revised as necessary</p>
Precept	Adequacy of precept in order for the Council to carry out its Statutory duties	L	<p>To determine the precept amount required, the Council regularly receives budget update information monthly. 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 Stratford District Council. The figure is submitted by the Clerk in writing.</p> <p>The Clerk informs the Council when the monies are received.</p> <p>The Parish Council maintains a level of reserves that could be accessed in the event that the precept is inadequate.</p>	Existing procedure adequate
Financial Records	<p>Inadequate records</p> <p>Financial irregularities</p>	<p>L</p> <p>L</p>	The Council has Financial Regulations which sets out the requirements	<p>Existing procedure adequate</p> <p>Review the Financial Regulations when necessary</p>

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Financial Obligations	Parish Council fails to meet requirements for auditing and reporting due to lack of knowledge or competence of the Responsible Officer	L	Newly appointed clerks are required to complete 'Clerk's Toolkit' training through WALC	Existing procedure adequate
		L	A comprehensive calendar of financial obligations is available and is reviewed as part of the regular agenda	Within the Internal Controls document
Bank and banking	Inadequate checks	L	The Council has Financial Regulations which set out banking requirements	Existing procedure adequate
	Banks mistakes	L	Monthly reconciliation presented at council meetings Quarterly independent reconciliation of accounts External audit of accounts	
Reporting and auditing	Information communication	L	Financial information is a regular agenda item (Finance Report) and discussed/reviewed and approved at each meeting	Existing procedures adequate
Grants	Receipt of grant	L	The Parish Council does not presently receive any regular grants	Procedure would be formed, if required
Charges-rents receivable	Payment of rents	L	The Parish Council does not presently receive any rents	Procedure would be formed, if required
Grants and support payable	Power to pay Authorisation of Council to pay	L	All such expenditure goes through the required Council process of approval, minuted and listed accordingly if a payment is made using S137 powers of expenditure	Existing procedure adequate
Best value accountability	Work awarded Incorrectly	L	Normal Parish Council practice would be to seek, if possible, more than one quotation for any substantial work to be undertaken. For major work competitive tenders would be sought. If problems encountered with a contract the Clerk would investigate the situation and report to the Council.	Existing procedure adequate
	Overspend on services.	M		

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Salaries and associated costs	Salary paid incorrectly Unpaid Tax to Inland Revenue.	L L	All such expenditure goes through the required Council process of approval. No tax currently payable.	Existing procedure adequate
Employees	Fraud by staff Health and safety	L L	Requirements of Fidelity Guarantee insurance adhered to with regards to fraud. Quarterly independent reconciliation of accounts External audit of accounts All employees to be provided adequate direction and safety equipment needed to undertake their roles	Existing procedures adequate 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
Annual Return	Submit within time limits	L	The Annual Return is completed and signed by the Council, submitted to internal auditor for completion and signing then checked and sent to External Auditor 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 Meetings	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	Existing procedures adequate Members adhere to Code of Conduct
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 adequate Members take responsibility to update register

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Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L M	An annual review is undertaken of all insurance arrangements. Employers and Employee liabilities are a necessity and within policies. Ensure compliance measures are in place	Existing procedure adequate Insurance reviewed annually
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 has a Model Publication scheme in place. To date there has been no requests under 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 applies a fee to supplement the extra hours	Monitor any requests made under FOI
PHYSICAL EQUIPMENT OR AREAS				
Assets - general	Loss or damage Risk of damage/injury to third parties or their property	L L	An annual review of assets is undertaken for insurance provision All assets are insured, Parish Council has public liability insurance	Existing procedures adequate Existing procedures adequate
Maintenance - general	Poor condition of assets or amenities	L	Formal inspections are carried out and recorded. Any reports of damage or faults are reported to the Parish Council and dealt with in accordance with the correct procedures of the Council. Assets are insured.	Existing procedures adequate
Bus Shelters	Loss or damage	L	Quarterly inspections are carried out and recorded. Any reports of damage or faults are dealt with when reported to the Parish Council	Existing procedures adequate

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Play equipment	Loss or damage	L	Play equipment is insured	Existing procedures adequate
	Risk of damage/injury to third parties or their property	M	Play equipment inspected weekly and records kept. An annual check by an external service provider is also done. Area round play equipment is maintained regularly. Any reports of damage or faults are dealt with when reported to the Parish Council. Parish Council has public liability insurance	Existing procedures adequate
Street lights	Loss or damage - third party damage	L	Street lights are insured for collision damage (need to check exact cover).	Existing procedures adequate
	Loss or damage - end of life	M	Programme and funding in place to replace oldest columns. Lights are inspected every 3 or 6 years by WCC (dependent on type)	Existing procedures adequate
	Risk of damage/injury to third parties or their property	L	Lights are inspected every 3 or 6 years by WCC (dependent on type). Any reports of damage or faults are dealt with when reported to the Parish Council. Parish Council has public liability insurance	Existing procedures adequate
Benches	Loss or damage	L	Benches are insured	Existing procedures adequate
	Risk of damage/injury to third parties or their property	M	Quarterly inspections are carried out and recorded. Any reports of damage or faults are dealt with when reported to the Parish Council. Parish Council has public liability insurance	Existing procedures adequate
Meeting locations	Adequacy Health & Safety	L M	The Parish Council meeting is held in a venue considered to have appropriate facilities for the Clerk, members and the general public	Existing procedures adequate

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Council records – paper	Loss through: Theft Fire Damage	L M L	<p>The Parish Council records are stored in a lockable fireproof cabinet in the Village Hall. Records include historical correspondences, historic minutes, land ownership documents, cemetery and burial documents</p> <p>Working documents, financial records and more recent minutes are kept in a lockable filing cabinet at the Clerk's home</p>	<p>Existing procedures adequate</p> <p>Existing procedures adequate – Ensure document handover is included in any future role handover</p>
Council records – electronic	<p>Loss through: Theft, fire damage or corruption of computer</p> <p>Loss through: Unauthorised access to computer</p>	L M	<p>The Parish Council electronic records are stored on the Council laptop held at the Clerk's home. Back up of electronic data is made monthly. These backups are stored on a removable device at a separate location</p> <p>Parish Council laptop is password protected</p>	<p>Existing procedures adequate</p> <p>Existing procedures adequate</p>
Trees	Risk of damage/injury to third parties or their property		The Parish Council carries out an inventory of the tree stock every three years. An action plan is developed to deal with any trees identified as high risk as soon as possible and then lower priority remedial action is planned	Existing procedures adequate