

Caldecott 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 Caldecott 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) indentified	Management/control of Risk	Review/Assess/Revise
Precept	Adequacy of precept in order for the Council to carry out its Statutory duties	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 Rutland County Council. The figure is submitted by the Clerk in writing. The Clerk informs the Council when the monies are received.	Existing procedure adequate.
Financial Records	Inadequate records Financial irregularities	The Council has Financial Regulations which sets out the requirements.	Existing procedure adequate Review the Financial regulations when necessary
Bank and banking	Inadequate checks Banks mistakes	The Council has Financial Regulations which set out banking requirements. Monthly reconciliation	Existing procedure adequate Existing procedure adequate

Reporting and auditing	Information communication	Financial information is a regular agenda item (Finance Report) and discussed/reviewed and approved at each meeting.	Existing procedures adequate.
Charges-rents receivable	Non-Payment of rents	Parish council receives rents from garage ground rent and allotments. Rents are made by cheque or BACS payment to CPC. Reminder letters are sent out if payments not received in time allocated.	Suitable procedure will be put in place if required.
Grants and support payable	Power to pay Authorisation of Council to pay	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. Overspend on services.	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. Include when reviewing Financial regulations.
Salaries and assoc. costs	Salary paid incorrectly. Unpaid Tax to HMRC	Salary cheque payments are approved by council. Annual HMRC return is inspected and agreed by council.	Existing procedure adequate.
Employees	Fraud by staff Health and safety	Requirements of Fidelity Guarantee insurance adhered to with regards to fraud. All employees to be provided adequate direction and safety equipment needed to undertake their roles. Loss / absence of Clerk	Existing procedures adequate. Monitor health and safety requirements and insurance annually. Membership of LRALC
VAT	Reclaiming	The Council has Financial Regulations which set out the requirements.	Existing procedures adequate
Annual Return	Submit within time limits	Employers Annual Return is completed and submitted online with the prescribed time frame by the Clerk. Annual Return 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	All activity and payments within the powers of the Parish	Existing procedures adequate

	payments	Council to be resolved at full Council Meetings, including reference to the power used under the Finance section of agenda and Finance report monthly.	
Minutes/agendas/ Notices Statutory Documents`	Accuracy and legality Business conduct	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. Minutes may be recorded by the Clerk to aid minute taking and will be deleted once minutes are approved.	Existing procedures adequate. Members adhere to Code of Conduct
Members interests	Conflict of interests Register of members interests	Declarations of interest by members at Council meetings. Register of Member's Interests' forms reviewed regularly.	Existing procedures adequate. Members take responsibility to update register.
Insurance	Adequacy Cost Compliance Fidelity Guarantee	An annual review is undertaken of all insurance arrangements. Employers and Employee liabilities as necessity and within policies. Ensure compliance measures are in place. Fidelity checks in place.	Existing procedure adequate. Insurance reviewed annually.
Data protection	Policy provision	The Parish Council is registered with the Data Protection Agency	Ensure annual renewal of registration
Freedom of Information	Policy Provision	The Council has a Model Publication scheme in place. 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
IT / Cyber security	Email hacking, phishing, Malware, data breach or fraudulent payment requests	Basic anti-virus; Secure passwords used and payment instructions verified. Clerk awareness.	Basic anti-virus; Secure passwords used and payment instructions verified. Clerk awareness.
PHYSICAL EQUIPMENT OR			

AREAS			
Assets	Loss or damage Risk/damage to third party (ie property)	An annual review of assets is undertaken for insurance provision	Existing procedures adequate
Land	Loss or damage Risk/damage to third party (ie property) Correct Tenancy Agreements	For public safety the PC will “walk” the village periodically to ensure all its property and areas of responsibility are in good state of repair and order. The recreation/play area will be inspected by the PC monthly, in addition to the annual external professional review. Update existing agreements	Existing procedures adequate
Maintenance	Poor performance of assets or amenities	All assets (benches, flagpole, defibrillator and pinfold wall) owned by the Parish Council are regularly reviewed and maintained. All repairs and relevant expenditure for any repair is actioned / authorised in accordance with the correct procedures of the Parish Council. Assets are insured.	Existing procedures adequate
Notice Board	Risk of damage	The Parish Council currently has two notice boards. No formal inspection procedures are in place but any reports of damage or faults are reported to the Parish Council and dealt with in accordance of the correct procedures of the Council.	Existing procedures adequate
Meeting locations	Adequacy Health & Safety	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
Council records – paper	Loss through: Theft Fire damage	The Parish Council records are stored at the home of the Clerk. Records include historical correspondences, minutes, insurance, bank records. The documents are stored in a lockable fireproof cabinet.	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	The Parish Council electronic records are stored on the Council computer held with the Clerk at her home. Back ups of electronic data are made automatically.	Existing procedures considered adequate

Policy adopted

Date..... Signed (Chair)..... Signed (Clerk).....