

Nympsfield Parish Council

Risk Assessment

February 2016

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 enables Nympsfield Parish Council to assess the risks 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
Precept.	Adequacy of precept in order for the Council to carry out its Statutory duties.	L	To determine the precept amount required, the Council regularly receives budget updates, financial statements and bank reconciliations from the Clerk. 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 Stroud District Council. The figure is submitted by the Clerk in writing. The Clerk informs the Council when the monies are received.	Existing procedure adequate when budget and precept submitted together at January meeting.
Financial Records.	Inadequate records. Financial irregularities.	L L	The Council has Financial Regulations that sets out the requirements.	Financial Regulations adopted June 2015. Reviewed annually at AGM in May/June.
Bank and banking.	Inadequate checks. Banks mistakes.	L L	The Council has Financial Regulations which set out banking requirements. Periodic reconciliation – updated each month.	Financial Regulations adopted June 2015.
Reporting and auditing.	Inadequate information and communication.	L	Financial information is a regular agenda item (Finance) and discussed reviewed and approved at each meeting.	Existing procedures adequate.
Grants.	Failure to understand, seek, secure and spend grants.	L	Regular financial reporting to the Parish Council by the Clerk.	Existing procedures adequate.
Charges – rents receivable.	Payment of rents.	L	The Parish Council does not presently collect 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 procedures adequate.
Best value accountability.	Work awarded incorrectly. Overspend on services.	L M	Normal Parish Council practice would be to seek, if possible, three quotations for spend of less than £3k. Tender is only required if spend exceeds £60k. If problems encountered with a contract the Clerk would investigate the situation and report to the Council.	Existing procedures adequate. Include when reviewing Financial regulations.
Salaries and associated costs.	Salary paid incorrectly. Unpaid Tax to Inland Revenue.	L H	Outsource payroll administration and reporting to HMRC.	Review existing procedures.
Employees.	Fraud by staff. Health and safety.	L L	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.	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.	Financial Regulations adopted June 2015.
Annual Return.	Submit within time limits.	L	Annual Return is completed and submitted within the prescribed time frame by the Clerk. Annual Return completed & signed by the Council, submitted to Internal Auditor for completion.	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, including reference to the power used under the Finance section of agenda and Finance report monthly.	Financial Regulations adopted June 2015.

Financial and Management (continued)

Subject	Risk(s) identified	H/M/L	Management/control of Risk	Review/Assess/Revise
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 adequate.
		L	Agenda displayed according to legal requirements.	Published on Parish Council website and Noticeboard.
	Business conduct.	M	Business conducted at Council meetings should be managed by the Chair.	Members adhere to Stroud District Council Code of Conduct.
Members interests.	Conflict of interests.	L	Declarations of interest by members at Council meetings.	Existing procedures adequate.
	Register of members interests.	M	Register of members interests forms reviewed regularly.	Members take responsibility to update register.
Insurance.	Adequacy.	L	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 procedure adequate.
	Cost.	L		Insurance reviewed annually.
	Compliance.	L		
	Fidelity Guarantee.	M		
Data protection.	Policy provision.	L	The Parish Council is not registered with the Data Protection Agency. No requirement as The Parish Council does not hold any personal information.	Existing procedure adequate.
Freedom of Information.	Policy Provision.	L	The Council has a Model Publication scheme in place. To date there have been no requests under FOI.	Check Model Publication scheme.
		M	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.
Transparency and accountability.	Policy provision.	M	The Council has adopted the Transparency Code for Smaller Authorities in accordance with the the Local Audit and Accountability Act 2014.	Review at AGM.

Physical Equipment or Areas

Subject	Risk(s) identified	H/M/L	Management/control of Risk	Review/Assess/Revise
Assets.	Loss or damage. Risk/damage to third party(ies) property.	L L	An annual review of assets is undertaken for insurance provision.	Existing procedures 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 is actioned/authorised in accordance with the correct procedures of the Parish Council. Assets are insured.	Existing procedures adequate.
Notice Board.	Risk of damage.	L	The Parish Council currently has one notice board. 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 with the correct procedures of the Council.	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.
Council records – paper.	Loss through: Theft. Fire. Damage.	M M M	The Parish Council records are stored at various locations in the village, some with the Clerk. Records include historical correspondences, minutes, insurance, bank records. The documents are stored in lockable cabinets.	Review procedures. Look into lodging historic documents with Gloucester Archive.
Council records – electronic.	Loss through: Theft, fire damage or corruption of computer.	M	The Parish Council electronic records are stored on the Clerk's personal laptop pending acquisition of Council laptop held with the Clerk at their home. Back ups of electronic data are made at regular intervals.	Back up will be made upon acquisition of Council laptop.