

“The greatest risk facing a local authority is not being able to deliver the activity or services expected of the Council.”

Risk assessment is a systematic general 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 practical and necessary steps to reduce or eliminate the risks, insofar as is practically possible. 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 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 revise if required.

(1) Subject	(2) Risk(s) Identified	(3) H/M/L	(4) Management/Control of Risk	(5) Review/Assess/Revise
MANAGEMENT				
Business Continuity	Risk of Council not being able to continue its business due to unexpected circumstances	Low	Necessary paper records are retained in accordance with the Council’s Retention Policy as well as on the Parish Council’s website. The Clerk makes regular back-ups of files to an external hard drive. In the event of the Clerk being indisposed a locum will be arranged. Alternative meeting rooms are available in the village.	Existing procedures to be reviewed.
Meeting Location	Adequacy Health & Safety	Low Low	Meetings are held in the Village Hall. All the premises and facilities are considered to be adequate for the Clerk, Councillors and any Public who attend from a health, safety and comfort aspect. The venue is insured, and risk assessed.	Existing location adequate

Council Records/Documents	Loss through theft, fire, damage	Low	Necessary paper records are retained in accordance with the Council's Retention Policy as well as on the Parish Council's website. The Clerk makes regular back-ups of files to an external hard drive. Papers both current and archived will be stored securely at Clerk's home. The Clerk's home office is a private dedicated room and appropriate insurance arranged.	Damage or theft is unlikely and so provision adequate.
Computer Records/Documents	Loss through damage, fire, corruption of computer	Med	The Parish Council's electronic records are stored on the clerk's computer. Back-ups of the files are taken at monthly intervals on an external hard drive. Norton 360 installed on Clerk's computer and updated annually. Norton Utilities Installed.	Existing procedure adequate
Data Protection GDPR	Policy Provision Breach of regulations	Low Low Low	Data Protection requirements stated in Councils standing orders. GDPR Policy adopted. Ensure that employees receive specific training. DPO appointed. Clerk to ensure all regulations dealt with as per General Data Regulations policy. Information Audit in place and reviewed.	Existing procedure adequate Provide training where necessary.
Legal Powers	Illegal or unlawful activity or payments	Low	All activity and payments within the powers of the Parish Council to be resolved and minuted at full Parish Council meetings.	All activities and payments minuted.
Employees (Clerk)	Loss of Key Personnel Fraud by Staff Unlawful action taken by staff Breach of Health & Safety	Med Low Low Med	Proactive management to ensure that employees are well motivated and respected. Contingency arrangements and funding in place to provide adequate cover in the event of employee absence. Policies are in place to address staff grievances. All appropriate employees of the Council shall be included in a suitable fidelity guarantee insurance in accordance with financial regulations. All employees are made aware of their responsibilities for health and safety through their contract and training provided as required.	Existing procedure adequate Chair to maintain regular contact

			The Clerk will be provided with relevant training, reference books, access to assistance and legal advice required to undertake the role. Regular contact with Chair.	
FINANCE				
Precept	Adequacy of precept Requirements not submitted to District Council Amount not received from District Council	Low Low Low	Sound budgeting to underlie annual precept. The Parish Council receives a six monthly budget update and detailed budgets in January of each year. The precept is an Agenda item at the Jan meeting and is approved at the Jan meeting. The Clerk informs the Council when monies are received (approx Apr). Borough Council would follow up unsubmitted precept requirement.	Existing procedure adequate
Budget	Not set	Low	Agenda Item (Jan), approved Jan by North Creake Parish Council.	Existing procedure adequate
Insurance	Inadequate Cover Expensive Policy Lack of Compliance	Low Low Low Low	An annual review is undertaken of all insurance arrangements in place. Employers Liability, Public Liability and Fidelity Guarantee are a statutory requirement. Ensure that the Asset Register is up to date.	Existing procedure Adequate Review provisions and compliance annually
Banking	Inadequate checks Bank Mistakes Loss/Charges Internet Hacking FSCS limits exceeded	Low Low Low Med	The Council has Financial Regulations which set out the requirements for banking, cheques and reconciliation of accounts. The Clerk reconciles the bank accounts once a month when the statements are received. Errors communicated to the bank immediately. Internet Banking procedure established requiring two signatories for every transaction. Anti-virus software on Clerk's and every signatories computer. FSCS covers deposits to £85k. If bank accounts exceed this amount the Clerk would authorise a transfer to an additional account.	Existing procedures Adequate Review Financial Regulations as necessary Monitor Bank Statements Bank signatories are reviewed annually.
Cash	Loss through theft or dishonesty	Low	The Council has no petty cash or float. Any cash transactions are made by the clerk, are fully receipted and then reimbursed monthly or paid by cheque/BACS on receipt of an invoice	Existing procedures adequate

Invoices	Goods not supplied but billed Incorrect Invoicing Errors in authorisation Unpaid Invoices	Low Low Low Low	The Council has financial regulations that set out the requirements. Invoices are only submitted for approval once the Clerk has inspected the goods/services received. Cheques when used are presented to the signatories with the relevant invoices, once checked as correct by the Clerk. Scanned invoices are sent to signatories for online payments. A schedule of payments is produced for approval at each Council meeting and minuted accordingly.	Existing procedures Adequate Review the financial regulations when necessary.
Financial controls and records	Inadequate checks Financial irregularities	Low Low	The Council has Financial Regulations which set out the requirements. Monthly reconciliation prepared by RFO and approved by the Parish Council. Two signatories on cheques. Internal and external audit. Any financial obligation must be approved and clearly minuted before any commitment. All payments must be approved and clearly minuted. Any s137 payments must be recorded at time of approval The Clerk receives training to ensure knowledge is up to date.	Existing procedures adequate Review the Financial regulations when necessary.
Reporting and Auditing	Information Communication Compliance	Low Low	A monitoring statement will be produced monthly. This will include bank reconciliation and a breakdown of receipts and payments. Council should regularly Audit internally to comply with Fidelity Guarantee.	Existing communication procedures adequate Chairman to Audit Fidelity compliance annually
Grants and support – payable	Power to pay Authorisation of the Council to pay	Low	All such expenditure goes through the required process of approval, minuted and listed accordingly if a payment is made using the S137 power.	Existing procedures adequate. Parish Councillors request a S137 rules if required.
Grants – receivable	Incorrect amount received or paid	Low	The Parish Council does not regularly receive grants. Grants received are paid via online banking and recorded in the electronic accounts system. One off grants would come with terms and conditions to be satisfied	Procedure would need to be formed, if required
Charges – rentals receivable	Receipt of rent	Low	Clay Shooting Club; – The Clerk will issue an invoice annually for rent due. Any payments by cheque are	Existing procedures will be adequate.

	Insurance implication	Med	banked and the Council notified of the receipts. The club will arrange their own insurance and provides a copy to the Parish Council each year.	Review agreement and fees annually Ensure payment and copy of insurance is received.
Best Value Accountability	Work awarded incorrectly Overspend on services	Low Low	As per Financial regulations, to seek, if possible, more than one quotation for any substantial work required to be undertaken. 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 procedure adequate. Review the financial regulations when necessary.
Salaries and associated costs	Salary paid incorrectly Wrong hours/rate paid Wrong deductions of tax Unpaid tax contributions to the Inland revenue	Low Low Low Low	The Parish Council authorises the appointment of all employees. Salary slips are produced monthly by the Clerk together with a schedule of payments to the Inland Revenue. These are inspected at council meetings and signed off. All tax payments are submitted in the Inland Revenue annual return. The Clerk keeps a record of hours worked and has a contract of employment and job description. Salary is based according to national pay scales advised by SLCC and NALC. Salary is paid by standing order.	Existing appointment and payment system adequate
Clerk and other employees	Loss of clerk Fraud Actions undertaken Salary paid incorrectly	Med Low Low Low	A contingency fund should be established to enable training for the CILCA qualification in the event of the clerk resigning. The requirements of Fidelity Guarantee insurance must be adhered to Clerk should be provided with relevant training, reference books, access to assistance and legal advice North Creake Parish Council has been appointed to undertake payment of clerks monthly salary	Existing procedures adequate Include in financial statement when setting precept Monitor working conditions
Councillor allowances/expenses	Councillors over-paid	Low	No allowance has been allocated to Parish Councillors.	Existing procedures adequate

			Any expenses are claimed by presenting the relevant receipt to the Council for approval. Expenses are monitored to ensure the budget is not exceeded and expenditure reported monthly to the Council.	
Election costs	Unexpected election cost	Low	Risk is higher in an election year. There are no measures, which can be adopted to minimise risk of having a contested election. Sufficient monies in reserves are budgeted to be available should the need arise.	Include in financial statement when setting precept
VAT	Failure to reclaim	Low	The Council has financial regulations which set out the requirements.	Existing procedures adequate
Annual Return	Not submitted within time limits Not published in compliance with regulation	Low	Year end accounts are approved by the Council and then submitted to the Internal Auditor. Annual return is completed and signed by the Council, submitted to the Internal Auditor for completion and signing, then checked and sent on to the External Auditor within time limit. Dates for deadline are stated by auditor. Accounts are published as stated on auditor notices.	Existing procedures adequate
ASSETS				
Infrastructure Assets	Protection of physical assets	Low	All assets insured and reviewed annually. Value increased annually by RPI. All assets maintained on an ad hoc basis and reviewed annually.	Existing procedures adequate
Street furniture and play equipment	Theft/Loss, damage to play equipment, benches, etc Maintenance of all Assets	Low	Seats & play equipment essentially immovable, inspected annually. An asset register is kept up to date and insurance is held at the appropriate level for all items. Annual Play Area Inspection carried out by registered play inspection company. Regular checks are made on all equipment by the Clerk of the Parish Council.	Existing procedures adequate
Maintenance	Poor performance of assets or amenities. Risk to third parties	Low Low	All assets owned by the Council are regularly reviewed and maintained. All repairs and relevant expenditure for these repairs are actioned/authorised in accordance with the procedures agreed by the Council.	Existing procedure adequate. Ensure timely inspections carried out.

Parish Land	Village Green, Playing Field, Shammer land, Passing Place (Wells Rd), Land at Church Yard	Low	The Council is the owner of Playing Field and Shammer land but leases the Village Green and Passing Place (Wells Road) from the Althorp Estate. The Council is responsible for their upkeep and safety together with any furniture and fittings placed on them by the Council. The Parish Council leases land at the Church Yard, St Mary's from Althorp Estate.	Existing procedure adequate. Ensure timely inspections carried out.
SAM2 Speed Signs	Theft/Loss/Damage Roadside Accident Lifting Heavy equipment	Low Med Med	Covered under Insurance Policy Signs secured to post with padlocks to which one person an access Reports received at monthly meetings. Contingency in budget to cover expenses incurred. Risk Assessment and training for use of SAM2 provided by Westcotec Ltd on purchase. Public Liability Insurance/Asset Insurance	Existing procedures adequate
Office equipment	Loss	Low	No risk, equipment provided by clerk	Existing procedures adequate
LIABILITY				
Legal powers	Illegal activity or payments Working Parties taking decisions	Low Low	All activity and payments made within the powers of the Parish Council to be resolved and clearly minuted. Ensure that Working Parties understand that only the Parish Council can Make decisions.	Existing procedures adequate
Minutes/Agendas/Statutory documents	Accuracy and Legality Non compliance with statutory requirements	Low Low	Minutes and agendas are produced in the prescribed manner by the Clerk and adhered to legal requirements. Minutes are approved and signed at next meeting. Minutes and agendas are displayed according to legal requirements on notice board and PC website. Business conducted at Council meetings should be managed by the Chairman and advised by the Clerk.	Existing procedures adequate Undertake adequate training Members to adhere to Code of Conduct
Employer Liability	Comply with Employment Law	Low Low	Membership of various and regional bodies. Regular advice from HMRC. PAYE completed monthly and at year-end.	Existing procedures adequate

	Comply with HMRC requirements		Internal and external auditor carries out annual checks.	
Public Liability	Risk to third party, property or individuals	Low	Insurance is in place. Risk assessment of any individual event undertaken.	Existing procedures adequate
Legal Liability	Legality of activities	Low	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 adequate
	Proper and timely reporting via Minutes	Low		
	Proper document control	Low		
COUNCILLORS PROPRIETY				
Members Interests	Conflict of interest not declared	Med	Councillors have a duty to declare any interest at the start of the meeting, reminder on the agenda. However, it is not the responsibility of members of the Clerk to cajole the member with the potential interest to actually declare one. It is the sole responsibility of the Councillor concerned. Register of Members Interests form to be reviewed regularly by Councillors.	Existing procedures adequate Members to take responsibility to update their register Check understanding of requirements as new councillors in place.
	Register of Members Interests	Med		