

Ironville Parish Council Risk Assessment 2021/2022

“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 Ironville 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 procedure was followed:

1. Topic Area identified
2. Identify the areas to be reviewed.
3. Identify what the risk might be – High, Medium or Low.
4. Evaluate the management and control of the risk and record all findings.
5. Review, assess and revise as required.

Finance and Management

Business Continuity	Risk of Council not being able to continue its business due to an unexpected or tragic circumstance Unable to hold physical meetings. Return to Face to Face Meetings	L	Areas of concern-Clerk and Chair of Council work closely to share information. Grounds Worker recruited to undertake Village Warden role. Create Dropbox folder to store documents such as policies, templates. Council has used Cisco/Webex during Covid 19 successfully. Scheme of Delegation being updated for return of Face to Face meetings after May 2021 and a Risk Assessment to be completed.	Existing procedure adequate
Precept	Adequacy of precept Requirements not submitted to Borough Council. Amount not received by Parish Council	L L L	To determine the precept amount required, the Parish Council receives budget update information regularly. The precept is an agenda item at Full Council. At the Precept meeting Council receives a budget update report, including actual position and projected position to end the 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 the Borough Council. This figure is submitted by the Clerk in writing to the Borough Council. The Clerk informs Council when the monies are received (approx May time).	Existing procedure adequate
Financial Records	Inadequate records Financial irregularities	L L	The Council has Financial Regulations which set out the requirements. Scribe accounting package purchased in 2020/2021	Existing procedure adequate. Financial

				Regulations are reviewed annually.
Bank and Banking	Inadequate checks	L	The Council has Financial Regulations which set out the requirements for banking, cheques, and reconciliation of accounts. The bank may make occasional errors in processing cheques which are discovered when the Clerk reconciles the bank accounts once a month when the statement arrives, these are dealt with immediately by informing the bank and awaiting correction. Bank reconciliation completed by Clerk only	Existing procedure adequate.
	Bank mistakes	L		Review the Financial Regulations annually and bank signatory list when necessary, especially after an AGM and an election.
	Loss	L		Monitor the bank statements monthly.
	Charges	L		
Cash	Loss through theft or dishonesty	L	The Council has Financial Regulations which set out the requirements. Cash received from allotments is banked within 3 banking days. There is no petty cash or float.	Existing procedure adequate.
	Lack of lockage safe/storage for cash in Parish Office.			Financial Regulations are reviewed annually.
Reporting and Auditing	Information communication	L	All payments are authorised at Full Council. A list is produced and published as a report to Full Council. All approved payments are listed in the Full Council minutes. Council conducts regular internal audits to comply with the Fidelity Guarantee. Scribe software being used to better effect and Income and Expenditure reports go to every Full Council meeting	Existing communication procedures adequate.
	Compliance	L		
Direct costs	Goods not supplied but billed	L	The Council has Financial Regulations which set out the requirements.	Existing procedure adequate.
Overhead expenses	Incorrect invoicing	L		

Debts	Payment incorrect	L	At each Council meeting the list of invoices awaiting approval is reported and considered. Council approves the list of requests for payment.	Financial Regulations are reviewed annually.
	Unpaid invoices	L	Unpaid invoices to the Council for services are pursued – Bank reconciliation done monthly to check payments are made as reported to Full Council	
Grants and support - payable	Power to pay. Authorisation of Council to pay	L	All such expenditure goes through the required Council process of approval, is minuted and listed accordingly if a payment is made using the S137 power of expenditure.	Existing procedure adequate.
Grants - receivable	Receipts of Grant	L	The Parish Council does not presently receive any regular grants. One-off grants would come with terms and conditions to be satisfied.	Procedure would need to be drafted if the situation arose.
Charges – rentals payable	Payments of charges, leases, rentals	L	The Parish Council rents the Community Centre for Council meetings. Invoices payable for the rental amounts are entered into the normal payment system for authorisation.	Existing procedure adequate.
Charges – rentals receivable	Receipt of rental	L	Allotments, all holders are to be issued with a license.	Existing procedure adequate. Review agreement and fees annually. Ensure payment and copy of insurance document received.
	Insurance implication	L	All hirers/license holders/leases arrange own insurance and provide a copy to the Parish Council each year.	
Best value	Work awarded incorrectly.	L	Financial Regulations and Standing Orders determine the process to appoint/contract. These have been updated to ensure speed where necessary and focus on local contractors where feasible.	Existing procedure adequate.
Accountability	Overspend on services	L	A check on contracts and appointments is undertaken as part of the internal audit and reported to annual Council.	

			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.	
Salaries and associated costs	Salary paid incorrectly.	L	The Parish Council authorises the appointment of all employees together with starting SCP. SCP are assessed annually. Salary analysis and slips are produced monthly by the Clerk together with a schedule of payments to the Inland Revenue (for Tax and NI). These are inspected at Full Council meetings and signed off. The Tax and NI is worked out using an Inland Revenue computer programme updated annually. All Tax and NI payments are submitted in the Inland Revenue Annual Return. Each employee has a contract of employment and job description. All contracts of employment contain a section on overpayment and recoup.	Existing appointment and payment system is adequate.
	Wrong hours paid.	L		
	Wrong rate paid.	L		
	False employee	L		
	Wrong deductions of NI or Tax	L		
	Unpaid Tax & NI contributions to the Inland Revenue	L		
Employees	Loss of key personnel	L	See above.	Existing procedure adequate. Membership of the DALC.
	Fraud by staff	L	The requirements of the Fidelity Guarantee insurance to be adhered to with regards to fraud.	
	Actions undertaken by staff	L	The Clerk should be provided with relevant training, reference books, access to assistance and legal advice required to undertake the role.	Monitor working conditions, safety requirements and insurance regularly.
	Health & Safety	L	The Village Warden should be provided with adequate direction and safety equipment needed to undertake the roles, i.e., protective clothing and training.	
	Staff absence	L	Absence procedures to be developed.	

	Staff under-performance	L	The Clerk assesses and monitors staff performance with Chair & Vice Chair. The Chair assesses and monitors Clerk's performance. Staff Performance Policy to be developed.	
	Employment disputes	L	The Council would engage insurance provider for appropriate legal protection to ensure support should disputes not be resolved at a local level.	
Councillor allowances	Councillors over-paid	L	Only Chair receives allowance which is paid annually in June. Procedure in place. Clerk diarises the publication requirement on Year Planner.	Existing procedure adequate
	Income tax deduction			
Election costs	Risk of an election cost	L	Risk is higher in an election year. When an election is due the Clerk obtains an estimate of costs from the Borough Council for a full election and an uncontested election. There are no measures which can be adopted to minimise the risk of having a contested election as this is a democratic process and should not be stifled. This is budgeted for.	Existing procedure adequate
VAT	Re-claiming/charging	L	The Council has Financial Regulations which set out the requirements	Existing procedure adequate
Annual Return	Submit within time limits	L	Employer's Annual Return is completed and submitted online and to the Inland Revenue within the prescribed time frame by the Clerk. Procedures in place if any restrictions on completing Annual Return in time The Clerk has completed Annual Return on income & expenditure basis for other parishes and has been trained on Creditors/Debtors approach by Accounts Supplier. The 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.	Existing procedures adequate

Legal Powers	Illegal activity or payments	L	All activity and payments within the powers of the Parish Council to be resolved and minuted at Parish Council Meetings, including a reference to the power used. Checks are carried out as part of internal audit procedure. The Clerk reports any issues to Full Council.	Existing procedures adequate
Minutes/Agendas/Notices Statutory Documents	Accuracy and legality	L	Minutes and Agendas are produced in the prescribed method by the Clerk and adhere to the legal requirements. Minutes are approved and signed at the next Council meeting. Minutes and Agendas are displayed according to the legal requirements.	Existing procedure adequate. Guidance/training to Chair should be given (if required).
	Business conducted	L	Business conducted at Council meetings should be managed by the Chair.	Members to adhere to and sign a Code of Conduct.
Members interests	Conflict of interest	L	Although not a requirement, the declaring of interests by members at a meeting should be an obvious process to remind Councillors of their duty and should remain on the agenda.	Existing procedure adequate.
	Register of Members interests	L	The Register of Members' Interest forms should be reviewed annually by Councillors. On year Planner. On Full Council Agenda every May	Members take responsibility. to update their Register.
Insurance	Adequacy	L	An annual review is undertaken (before the time of the policy renewal) of all insurance arrangements in place.	Existing procedure adequate.
	Cost	L	Employers and Employee liability insurance is a necessity and must be paid for.	Review insurance provision annually.
	Compliance Fidelity Guarantee	L M	Ensure compliance measures are in place. Ensure Fidelity checks are in place.	Review of compliance.
Data protection	Policy Provision	L	The Council is registered with the Information Commissioner and pays £35 annually to keep the registration up to date.	Existing Procedures Adequate

Freedom of Information Act	Policy	L	The date is entered onto the Year Planner. The Council has an up to date DPA policy and records retention and destruction policy.	Relevant policies are reviewed annually.
	Provision	M	The Council has adopted the model publication scheme. All information required to be published is published on the Council's web site. There have been no substantial/lengthy requests for information to date, but the Clerk is aware that if a substantial request arrives then this may require many hours of additional work.	Monitor and report any impact of requests made under the FOI Act.
Assets	Loss or Damage	L	An annual review of assets is undertaken for insurance provision, storage, and maintenance provisions.	Existing procedure adequate.
	Risk/damage to third party(ies)/property	L		
Maintenance	Poor performance of assets or amenities	L	All assets owned by the Parish Council are reviewed regularly and maintained. All repairs and relevant expenditure for these repairs are actioned/authorised in accordance with the correct procedures of the Parish Council. All assets are insured and reviewed annually.	Existing procedure adequate.
Notice boards	Risk/damage/injury to third parties	L	Parish Council has notice boards sited around the village. All locations have approval by relevant parties, insurance cover. They are inspected regularly by the Warden who will carry out any repairs/maintenance requirements	Existing procedure adequate.
Street furniture	Risk/damage/injury to third parties	L	The Parish Council is responsible for several bus shelters around the village.	Existing procedure adequate.

			These are covered by insurance. The Village Warden makes regular inspections and reports damage or faults to the Clerk which are dealt with. Council is to replace inappropriate or damaged shelters. DCC to aid funding.	
Meeting location	Adequacy	L	The Parish Council Meetings are held at the Community Centre.	Existing locations adequate.
	Health & Safety	L	The premises and the facilities are considered to be adequate for the Clerk, Councillors and Public who attend from Health and Safety and comfort aspects.	
Council records – paper	Loss through: theft fire damage	L	The Parish Council paper records are stored at the Clerk's home in a locked storage cabinet .	Damage (apart from fire) and theft is unlikely and so provision is adequate.
Council records - electronic	Loss through theft, fire, damage, corruption of computer	M	The Parish Council's electronic records are stored on the Clerk's computer and Back-ups of the files are taken at regular intervals and a drop box site to be developed	Provision is adequate.
Events	Injury to third parties, damage to facilities etc	M	Christmas Tree Lights switch on -Risk Assessment undertaken separately. Non Council events- Council would request risk assessment, insurance cover etc.	Provision is adequate.

25 April 2021