

DOCKING PARISH COUNCIL

PARISH COUNCIL RISK ASSESSMENT

"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	Low	Considered so remote as to not warrant a specific plan	No further action
Meeting Location	Adequacy Health & Safety	Med Low	Meetings are held in the Pavilion. 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 size of the room is adequate Existing procedure adequate
Council Records/Documents	Loss through theft, fire, damage	Low	Current papers will be stored securely at Clerk's home. Archived papers will be stored securely at the Clerk's home. Legal/historic documents stored with a solicitor (TBC at the point of needing to be stored)	Damage of 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 'OneDrive', login details noted in a sealed envelope and kept by the Chair in case access is needed and Clerk not available.	Existing procedure adequate
FINANCE				
Precept	Adequacy of precept Requirements not submitted to Borough Council Amount not received from Borough Council	Med Low Low	Sound budgeting to underlie annual precept. The precept an agenda item at the December meeting and is approved at the January meeting. The Clerk informs the Council when monies are received in April.	Existing procedure adequate
Budget	Not set	Low	Agenda item at December meeting, approved January by Docking Parish Council	Existing procedure adequate
Insurance	Adequacy Cost	Low Low	An annual review is undertaken of all insurance arrangements in place. Employers Liability and Public Liability are a	Existing procedure adequate Reviewed May 2021

	Compliance	Low	requirement	
Banking	Inadequate checks Bank mistakes Loss/Charges	Low Low Low	Monthly bank reconciliations are completed by RFO, checking bank statements with cheques and BACS payments and income banked.	Existing procedure adequate
Cash	Loss through theft or dishonesty	Low	The Council has no petty cash or float. Any cash transactions are made by the Clerk, and fully receipted and then reimbursed monthly.	Existing procedure adequate
Financial Controls and records	Inadequate checks	Low	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 the time of approval	Existing procedure adequate
Reporting and Auditing	Information Communication Compliance	Low	Bank reconciliations completed and breakdown of receipts and payments kept.	Existing procedure adequate
Grants - receivable	Receipts of grant	Low	The Parish Council does not regularly receive grants. 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	Allotment Rent paid annually, new leases issued and returned s Grazing agreements - Leases issued and signed by both parties a copy retained by PC. Cheques are banked and Council notified of the receipt.	Existing procedure adequate Review agreements and fees annually
Best Value Accountability	Work awarded incorrectly	Low	To seek quotes (number stated in SO) for any substantial work required to be undertaken. If a problem is encountered with a contract the Clerk would investigate and if necessary, report to Council.	Existing procedure adequate
Salaries and associated costs	Salary paid incorrectly Wrong hours/rate paid Wrong deductions of tax Unpaid tax contributions to HMRC	Low Low Low Low	The Parish Council authorises the appointment of all employees. Payslips are produced monthly by the Clerk together with HMRC payments, and in monthly payments for approval. All tax payments are submitted to HMRC in the annual return	Existing appointment and payment system adequate
Clerk and other employees	Loss of clerk Fraud Actions undertaken	Med Low Low	A contingency fund should be established to enable training for the CiLCA qualification in the event of the Clerk resigning. Clerk should be provided with relevant training, reference books, access to assistance and legal advice	Include in financial statement when setting precept Membership of SLCC Monitor working conditions
Election costs	Risk of election cost	Med	Risk is higher in an election year. There are no measures, which can be adopted to minimise risk of having a contested election. A contingency fund should be established to meet the costs	Include in financial statement when setting precept
VAT	Reclaiming/Charging	Low	VAT claimed a minimum of once an annum, VAT shown in the cashbook	Existing procedure adequate

Annual Return	Not submitted within time limits	Low	Annual return is completed and signed by the Council, submitted to the Internal Auditor for completion and signing. Finally sent on to the External Auditor within the time limit	Existing procedure adequate
ASSETS				
Infrastructure Assets	Protection of physical assets	Low	All assets insured and reviewed periodically. Maintained on an adhoc basis	Existing procedure adequate
Street Furniture	Theft/Loss, damage etc	Low	Street furniture inspected periodically. An asset register is kept up to date and insurance is held at an appropriate level.	Existing procedure adequate
Office equipment	Loss	Low	Laptop and Printer provided to Clerk by Council to perform the Clerk/RFO role. A contingency fund should be established for replacing items	Existing procedure adequate Include in financial statement when setting precept
LIABILITY				
Legal powers	Illegal activity or payments	Low	All activity and payments made with the powers of the Parish Council to be resolved and clearly minuted.	Existing procedure adequate
Minutes/Agendas/Statutory documents	Accuracy and Legality	Low	Minutes and agendas are produced in the prescribed method and adhere to legal requirements. Minutes are approved and signed at the next meeting	Existing procedure adequate Undertake adequate training
	Non-compliance with statutory requirements	Low	Minutes and agendas are displayed according to legal requirements Business conducted at Council meetings should be managed by the Chair	Members to adhere to Code of Conduct
Employer Liability	Comply with employment Law	Low	Membership on NALC, regular updates from HMRC. PAYE completed monthly and at year end. Internal and External auditor carries out annual checks	Existing procedure adequate
	Comply with HMCR requirements	Low		Existing procedure adequate
Public Liability	Risk to third party, property or individuals	Med	Insurance is in place	Existing procedure adequate
COUNCILLORS PROPRIETY				
Members Interests	Conflict of Interest	Med	Councillors have the duty to declare any interest at the start of the meeting.	Members take responsibility to declare interests
	Register of Members Interests	Low	Register of Members Interests form to be reviewed at least on an annual basis	