

Bitterley Parish Council Risk Assessment

Introduction

“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 Members should then take all practical and necessary steps to reduce or eliminate the risks, insofar as is practically possible. Making sure that all Members 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.

FINANCIAL AND MANAGEMENT

Subject	Risk(s) Identified	H / M / L	Management/Control of Risk	Review/Assess/Revise	Action/By
Business Continuity	Risk of Council not being able to continue its business due to an unexpected or tragic	L	No management presently for loss or long term incapacity of a Clerk, loss or theft of records, full or majority replacement of the Council at an election or other such instances.	Existing procedure adequate. Ongoing plan revisions necessary.	

	circumstance.				
Subject	Risk(s) Identified	H / M / L	Management/Control of Risk	Review/Assess/Revise	Action/By
Precept	Adequacy of precept requirements not submitted to Shropshire Council Amount not received by Shropshire Council	L L	Parish Council regularly receives budget update information. When the precept is on the agenda the Council receives a budget update report, including actual position, projected position to end the year and indicative figures /costings. 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. This figure is submitted by the Clerk in writing to Shropshire 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. Existing procedure adequate.	Review Financial Regulations when necessary.	
Bank and banking	Inadequate checks	L	The Council has Financial Regulations which set out the requirements for banking, cheques and reconciliation of the account. The Parish Council has one current bank account. Cash and cheques received banked within 3 days. Cheques require two signatures, normally it is the Chairman and the Vice-Chair that sign the cheques, but any of the other councillors are able to.	Existing procedure adequate. Ensure Financial Regulations relevant Review when necessary the bank signatory list, especially after an election.	
Reporting and auditing	Information communication Compliance	L L	A monitoring statement is produced regularly at Council meetings which is distributed, discussed and approved. This statement includes, bank reconciliation, budget update, and a breakdown	Existing communication procedures adequate.	

Subject	Risk(s) Identified	H / M / L	Management/Control of Risk	Review/Assess/Revise	Action/By
Direct costs Overhead expenses	Goods not supplied but billed Incorrect Invoicing Cheque payable incorrect	L L L	of receipts and payments made balanced against the bank. The Council has Financial Regulations which set out the requirements. At each Council meeting the list of invoices awaiting approval is distributed to all Councillors, and questioned. One Councillor is nominated to check each invoice against the cheque book and associated paperwork . Council approves the list of requests for payment.	Existing procedure adequate. Inadequate Council verification not carried out every meeting - make time to do this.	Verify and initials invoice
Grants and support - payable	Power to pay Authorisation of Council to pay	L	All such expenditure to go through the required Council process of approval and 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 grants.	Procedure would need to be formed if required.	
Best value Accountability	Work awarded Incorrectly Overspend on services	L L	The Council has Financial Regulations which set out the requirements. Normal Parish Council practice is to seek more than one quotation for any substantial work required to be undertaken or goods. For major contract services, formal competitive tenders would be sought. 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.	

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Grants and support	Power to pay Authorisation of Council to pay	L L	All such expenditure goes through the required Council process of approval, minuted and listed accordingly if a payment is made using the S137 power of expenditure.	Existing system adequate. Parish Councillors to request a copy of S137 rules if required.	
Election costs	Risk of cost from an election	L	When an election is due the Clerk will obtain an estimate of costs from the District 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.	Existing procedure adequate.	
VAT	Re-claiming/ charging	L	The Council has Financial Regulations which set out the requirements.	Existing procedure adequate.	
Employees	Loss of key personnel	L	The Clerk should have opportunity for training, reference books, access to assistance and legal advice required to undertake the role.	Existing procedure adequate. Purchase revised books, membership of the SALC/ training.	
Minutes/ Agendas/ Notices Statutory documents	Accuracy and Legality Business conduct	L L	Minutes and agenda 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 agenda are displayed according to the legal requirements.	Existing procedure adequate. Guidance/training to the Chair should be offered.	Councillor and Chair training

			The Chair should manage business conducted at Council meetings.		
Subject	Risk(s) Identified	H / M / L	Management/Control of Risk	Review/Assess/Revise	Action/By
Members interests	Conflict of interest Register of Members interests not being up-to-date	L M	The declaring of interests by members at a meeting should become a more regular and obvious process. Register of Members Interest forms should be reviewed regularly.	Members take responsibility to check and update their Register and undertake training	Councillor Training Update registers
Insurance	Adequacy Cost Compliance	L	An annual review is undertaken (before policy renewal) of all insurance arrangements. Employers and Employee liability insurance is a necessity and must be paid for. Ensure compliance measures are in place.	Existing procedure adequate. Review compliance.	Annual review
GDPR	Non-Compliance of the new Data Protection Laws, resulting in fines	M	Ensure adequate policies are in place and reviewed	New policies to be adopted at Annual Parish Council Meeting	Annual Review

PHYSICAL EQUIPMENT OR AREAS

Subject	Risk(s) Identified	H / M / L	Management/Control of Risk	Review/Assess/Revise	Action/By
Assets	Loss or Damage	L	An annual review of assets is undertaken for the External Auditor annually.	Existing procedure adequate.	Annual review
Maintenance	Poor performance of assets or amenities Risk/damage to third parties	L L L	All assets owned by the Parish Council are regularly reviewed and maintained. All repairs and relevant expenditure for these repairs are actioned/authorised in accordance with procedures. All assets are insured and reviewed annually.	Existing procedure adequate.	
Notice boards	Risk/damage/injury to third parties Road side safety	L L	The Parish Council has four notice boards sited around the village. All locations have approval by relevant parties. Inspected regularly by the Clerk and any repairs/maintenance requirements are brought to the attention of the Parish Council. The Clerk is mindful of roadside safety when at the notice boards.	Existing procedure adequate.	Clerk
Bus Shelter	Risk/damage/injury to third parties	L	The Bus shelter is Inspected regularly by the Clerk and any repairs/ maintenance requirements are brought to the attention of the Parish Council	Existing procedure adequate.	Clerk
Meeting	Adequacy	L		Existing location adequate.	

location	Health & Safety	L	The Parish Council Meetings are held at Bitterley Village Hall in mostly one room. The premises and the facilities are considered to be adequate for the Clerk, Councillors and Public who attend from Health & Safety and comfort aspect.		
Subject	Risk(s) Identified	H / M / L	Management/Control of Risk	Review/Assess/Revise	Action/By
Council records - paper	Loss through theft/fire/damage	L	The Parish Council records are stored at the home of the Clerk. Records include historical correspondence, minute books and records such as, insurance, etc. Recent materials are in a filing cabinet (not fire proof) and older more historical records in the attic.	Inadequate Existing storage provision is inadequate in the case of a fire.	2017
Council records - electronic	Loss through theft/fire/damage/computer corruption	L	The Parish Council's electronic records are stored on the Clerks computer.	Back-ups of the files are taken at regular intervals and supplied to the Chair for safe keeping.	Clerk