

## Broad Town Parish Council

### Risk Assessment March 2018

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 Broad Town 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 Wiltshire Council. The figure is submitted by the Clerk electronically. The Clerk informs the Council when the monies are received.	Existing procedure adequate when budget and precept submitted together at January meeting.  The Parish Council will maintain a target of six months operating costs in it's financial reserves.

Financial Records	Inadequate records Financial irregularities	L L	The Council has Financial Regulations that set out the requirements	Financial Regs to be reviewed 2018/2019
Bank and banking	Inadequate checks Bank mistakes	L L	The Council has Financial Regulations which set out banking requirements	Financial Regs to be reviewed 2018/2018
Reporting and auditing	Inadequate information and communication	L	Financial information is a regular agenda item and discussed/reviewed and approved at each meeting.	Existing procedure 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	Payment of rents	L	The Parish Council does not presently collect rents.	Procedure would be invoked 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.	The Parish Council will formally be adopting (2018/2019) the Power of General Competence. Existing procedure adequate
Value for money/accountability	Work awarded incorrectly. Overspend on services	L M	Normal Parish Council practice would be to seek, if possible, more than one quotation for any substantial work to be undertaken. For major work competitive tenders would be sought. If problems encountered with a contract the Clerk would investigate the situation and report to the Council.	Existing procedure adequate.  Ensure covered is reviewed Financial Regs
Salaries and assoc. costs	Salary paid incorrectly. Unpaid Tax to Inland Revenue	L	The Parish Clerk presents salary and expense payments, including the amount owing to HMRC for formal approval at Council Meetings	Reports to HMRC available to members for inspection. Ensure covered is reviewed Financial Regs

Employees	Fraud by Staff and Parish Councillor	L	Requirements of Fidelity Guarantee insurance adhered to with regards to fraud.	Existing procedures adequate. Monitor health and safety requirements and insurance annually. Review H & S risk assessments as and when required.
	Health & Safety	L	The clerk has PPE if required for work off site.	
VAT	Reclaiming	L	VAT is reclaimed once a year by the Clerk and reported to the Council.	Procedure adequate.
Annual Return	Submit complete and approve within time limits	L	Annual Return is completed and submitted to council for approval and signature by the Chairman. It is submitted to the Internal Auditor for completion and sign off within the set time limit.	Existing procedures adequate. The Parish Council will resolve its exemption from External Audit procedures at the beginning of the new financial year 2018/2019
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 where appropriate.	Existing procedures adequate
Minutes/agendas/ Notices Statutory Documents	Accuracy and legality	L	Minutes and agendas are prepared in accordance with legislation. Agendas are prepared in time to give the three clear days' statutory notice and displayed within the legal requirement. Draft minutes of the meeting are produced and on the website within 7 days of the meeting. Minutes are signed at the following council meeting. The business on the agenda is managed by the Chair and the Clerk offers legal advice where required at the meeting.	Existing procedures adequate.  Members abide by their own adopted code of conduct.
Members Interests	Conflicts of interest Register of Members' interests	L M	Declarations of interest by members are made at each council meeting (where necessary). An agenda item also prompts members to do so.	Existing procedures adequate.

			The Register of members interests are reviewed annually.	
Insurance	Adequacy Cost Compliance Fidelity Guarantee	L L L M	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. Insurance reviewed annually.
Data Protection	Policy Provision	L	The Parish Council is registered with the ICO	The Clerk is currently working towards compliance with the new GDPR legislation. Policy to be approved by council in the new financial year 2018/19
Freedom of Information	Policy Provision	M	The council will be reviewing its publication scheme. In the financial year 2017/2018 (to date) there have been no FOI requests. Any requests involve extra work for the clerk and there is provision in the budget to cover payment for additional hours.	Monitor and review publication scheme. Monitor requests for FOI and the Clerk will report to council.
Transparency and accountability	Policy Provision	M	The new transparency code for Smaller Authorities in accordance with the Local Audit and Accountability Act 2014	Will review if any implications from GDPR legislation

#### PHYSICAL EQUIPMENT OR AREAS

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
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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
Meeting Locations	Adequacy Health & Safety	L M	Parish Council meeting are held in the Village Hall and the facilities are considered adequate for the Clerk, Members and the general public.	Existing provision is adequate
Notice Board	Risk of damage	L	Councillors inspect the notice board when pinning up agendas and minutes. Any defects would be reported and attended to in accordance with council procedures.	Existing provision is adequate
Play Area Open Recreational spaces	Risk of damage Injury to users	M H	The play area is subjected to a ROSPA inspection each year. Any defects are assessed and repairs/remedial work carried out by an authorised play equipment installer. Visual checks are carried out periodically by members.	Ensure the ROSPA report is an agenda item and any defects reported and repaired correctly. The council should consider a more robust inspection regime using guidance from ROSPA. All inspections should be recorded in the event they are required as evidence in an insurance claim. <b>ACTION.</b>
Council records - paper	Loss through: Theft, fire damage or corruption of computer	L M	The Parish Council records are stored at the home of the clerk and the Village Hall. Records include historical correspondences, minutes, insurance, bank records. Some records are stored in lockable fireproof cabinets.	Review storage of records held at the clerk's home.  Otherwise provision is adequate.

Council records – electronic	Loss through: theft, fire damage or corruption of computer	L M	The Parish Council electronic records are stored on the Parish Clerks own PC with back-ups of electronic data made at regular intervals.	Existing provision is adequate. Although the Parish Council should consider purchasing its own PC for council business.
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