

## Eathorpe Joint Parish Councils Risk Assessment

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 has been produced to enable Eathorpe Joint Parish Councils to assess the risks that it faces and satisfy itself that it has taken adequate steps to minimise them.

<b>FINANCIAL AND MANAGEMENT</b>				
<b>Subject</b>	<b>Risk(s) identified</b>	<b>H/M/L</b>	<b>Management/control of Risk</b>	<b>Review/Assess/Revise</b>
<b>Precept</b>	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 update information. At the precept setting meeting the 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 WDC. The figure is submitted by the Clerk in writing. The Clerk informs the Council when the monies are received and this is minuted.	Existing procedure adequate
<b>Financial Records</b>	Inadequate records	L	The Council has Financial Regulations which sets out the requirements.	Reviewed and updated January 2019
	Financial irregularities	L	The Council has Financial Regulations which sets out the requirements.	Review the Financial regulations when necessary (Jan 2019)
<b>Bank and banking</b>	Inadequate checks	L	The Council has Financial Regulations which set out banking requirements  The Council has a Financial Control Document	Existing procedure adequate
	Banks mistakes	L	Monthly reconciliation	Existing procedure adequate Quarterly reports approved

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<b>Reporting and auditing</b>	Information communication	L	Financial information is a regular agenda item (Finance Report) and discussed/reviewed and approved at each meeting.	Existing procedures adequate
<b>Grants and support payable</b>	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.	Existing procedure adequate
<b>Best value accountability</b>	Work awarded incorrectly.	L	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. Include when reviewing Financial regulations.
	Overspend on services	M	No work is carried out without approval at a Council meeting.	
<b>Salaries and assoc. costs</b>	Salary paid incorrectly	L	Payroll is outsourced and a monthly payslip issued. Salary and HMRC tax is paid monthly in accordance with direction from the Payroll provider Payment approved at the meeting.	Existing procedure adequate
	Unpaid Tax to Inland Revenue	L	Payroll is outsourced and a monthly payslip issued. Salary and HMRC tax is paid monthly in accordance with direction from the Payroll provider Payment approved at the meeting.	Existing procedure adequate
<b>Employees</b>	Fraud by staff	L	Requirements of Fidelity Guarantee insurance adhered to with regards to fraud	Existing procedures adequate
	Health and safety	L	All employees to be provided with adequate direction and safety equipment needed to undertake their roles. Health and Safety Policy reviewed annually	Monitor health and safety requirements and insurance annually.
<b>VAT</b>	Reclaiming/charging	L	The Council has Financial Regulations which set out the requirements	Existing procedures adequate

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<b>Annual Return</b>	Submit within time limits	L	Annual Return completed and signed by the Council, submitted to internal auditor for completion and signing then checked and sent to External Auditor within time frame.	Existing procedures adequate
<b>Legal Powers</b>	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 used under the Finance section of agenda and Finance report monthly.	Existing procedures adequate
<b>Minutes/agendas/ notices Statutory Documents`</b>	Accuracy and legality	L	Minutes and agenda are produced in the prescribed manor by the Clerk and adhere to the legal requirements.  Minutes are approved and signed at the next Council meeting.  Agenda displayed according to legal requirements.	Existing procedures adequate
	Business conduct	L	Business conducted at Council meetings should be managed by the Chair.	Members adhere to Code of Conduct
<b>Members interests</b>	Conflict of interests	L	Declarations of interest by members at Council meetings.	Existing procedures adequate
	Register of members interests	M	Register of member's interest's forms reviewed annually. Councillors notify the Clerk of any changes throughout the year	Members take responsibility to update register. Clerk asks Councillors to update DPs annually
<b>Insurance</b>	Adequacy	L L	An annual review is undertaken of all insurance arrangements. Employers and Employee liabilities a necessity and within policies.	Existing procedure adequate. Insurance reviewed annually.
	Cost	L	Price comparisons are undertaken for best value	Existing procedure adequate. Insurance reviewed annually.
	Compliance	L	Ensure compliance measures are in place.	Existing procedure adequate. Insurance reviewed annually.
	Fidelity Guarantee	M	Fidelity checks in place.	Existing procedure adequate. Insurance reviewed annually.
<b>Data protection</b>	Policy provision	L	The Parish Council is registered with the Data Protection Agency	Ensure annual renewal of registration

<b>Freedom of Information</b>	Policy provision	L	The Council has a Model Publication scheme in place. To date there has been no requests under FOI.	Monitor any requests made under FOI
		M	The Parish Council is aware that if a substantial request came in it could create a number of additional hours work.	
<b>Assets</b>	Loss or damage	L	An annual review of assets is undertaken for insurance provision	Existing procedures adequate
	Risk/damage to third party (ies) property	L		
<b>Maintenance</b>	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
<b>Notice Board</b>	Risk of damage	L	The Joint Parish Council currently has 4 notice boards. No formal inspection procedures are in place but any reports of damage are faults are reported to the Parish Council and dealt with in accordance of the correct procedures of the Council.	Existing procedures adequate
<b>Meeting locations</b>	Adequacy	L	The Parish Council meeting is held in a venue considered to have appropriate facilities for the Clerk, members and the general public.	Existing procedures adequate
	Health & Safety	M	H&S Policy is approved annually.	The JPC approved a H&S Policy January 2018
<b>Council records – paper</b>	Loss through:		The Parish Council records are stored at the home of the Clerk. Records include historical correspondences, minutes, insurance, bank records. The documents are stored in a lockable cabinet and in the attic.	Damage (apart from fire) and theft is unlikely and so provision is adequate
	Theft	L		
	Fire damage	M		
<b>Council records – electronic</b>	Loss through:		The Parish Council electronic records are stored on the Council laptop held with the Clerk. Back ups of electronic data is made at regular intervals	Existing procedures considered adequate
	Theft, fire damage	L		
	corruption of computer	M		