

Owslebury Parish Council Risk Assessment

Adopted by Council 14th January 2019

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 Owslebury Parish Council to assess the risks that 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 update information at its meetings. At the precept meeting the Council receives a budget report, including actual position and projected position to the end of year, 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 Winchester City Council. The figure is submitted by the Clerk to WCC. In addition the Council maintains reserves, one of which is a General Reserve equating to between 6 and 9 months budgeted	Existing procedure adequate.
Grants	Proper accounting of grants.	L	Grants separately accounted for with clear ring fencing where necessary.	Existing procedure adequate.
Financial Records	Inadequate records	L	The Council has Financial Regulations which sets out the requirements and has adopted the NALC model. Bank balances and breakdown of receipts and payments produced and approved at each full council meeting.	Existing procedure adequate Review the Financial regulations when necessary

Fraud - General	Inadequate checks	L	The Council has Financial Regulations which set out banking requirements. All cheques and electronic payments must be dual authorised by two designated Councillor signatories and by the Clerk. There is no petty cash. Clerk's timesheet and expenses reviewed by chairman. Regular bank reconciliation by the Clerk with occasional checks by Chairman.	Existing procedure adequate.
Fraud - payroll	Inadequate checks	L	Clerk maintains payroll records including RTI for PAYE/NI. Clerks salary based on SLCC scales and reviewed/approved annually in budget process.	Councillor to review PAYE/NI records to ensure all payments up to date
Best value accountability	Work awarded incorrectly. Overspend on services.	L M	Normal Parish Council practice would be to seek, if possible, 3 quotes for any orders over £100. 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.
VAT	Loss of income to parishioners	L	Included in Financial Regulations. VAT claim submitted regularly if over £100; reconciled to cash book.	Existing procedure adequate.
Legal powers	Ultra vires activities or payments	M	All activity and payments within the powers of the Parish Council resolved at full Council meetings and reviewed by Internal Auditor. Where necessary advice sought from HALC/Hedleys	Continued monitoring by Clerk and Chair.
Inadequate insurance cover	Loss of capital or income to	M	Annual review undertaken by Clerk and reviewed by Chair. Presented to full Council.	Existing procedure adequate
Electronic records	Loss of vital information	M	Back up copy of computer records undertaken monthly and kept at Clerk's home; in addition all key documents backed-up using Google Drive	Existing procedure adequate
Legal records	Loss of contracts and title to property	M	Clerk maintains files of contracts and title at home.	Consideration to be given to off site storage.
Website and Information service	Proper update and use of website and information service.	H	Website (WordPress) and Information Service (Mail Chimp) maintained by Clerk and updated as necessary.	Consider Passwords to be changed every 3 months
Elections costs.	By-elections or full elections may be both necessary and	L	Reserve for election costs.	Procedure adequate.

Annual Returns.	Return submitted late.	L	Annual returns completed by the end of April. Employers return submitted to HMRC. Annual Return approved by whole Council before submission.	Procedures adequate but consider Councillor review of PAYE annual return.
Non availability of Clerk/RFO	Administration of Council	M	Temporary cover via use of locum. Recruitment policy in place and use of HALC to assist.	Consider adequacy of reserves on regular basis to cover locum costs for 6
Data protection Policy	Policy Provision	L	The Council is registered with the Data Protection Agency	Ensure annual review of registration
Meeting Location	Adequacy, Health & Safety risk	L	The Parish Council Meetings are held at the Village Hall. The premises and the facilities are considered to be adequate for the Clerk, Councillors and Public who attend from a Health and Safety and comfort aspects.	Existing location adequate
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. Business conducted at Council meetings should be managed by the Chair.	Existing procedure adequate. Guidance/training to Chair should be given (if required). Members to adhere to Code of Conduct.

PHYSICAL ASSETS

Loss or damage re physical assets	Loss of use or capital loss to parishioners	L	Annual review of assets for insurance purposes.	Existing procedure adequate
Maintenance of assets	Loss of use of, or injury to, parishioners	H	Annual review of assets apart from Play area. Benches inspected for problems. Play area reviewed by independent assessor at least twice per year. Clerk/ Councillor reviews play area for visual inspection on a regular basis. Cricket pavilion maintenance is the responsibility of Sport Club under license agreement.	Existing procedure adequate
Maintenance of surfaces – play area	Loss of use of, or injury to, parishioners	M	Play area surfaces reviewed by Clerk/ Councillor on regular basis. Repairs carried out as necessary. Medium term plan to replace surfaces agreed by Council.	Existing procedure adequate

Maintenance of surfaces – recreation grounds	Loss of use of, or injury to, parishioners	M	Grass cut regularly; contractor reports any issues with ground surfaces. Ground inspected for pot holes on occasional basis.	Controls adequate
Maintenance of trees	Loss of use of, or injury to, parishioners	M	Visual checks by councillors and when appropriate by specialists. Trees pruned as required	Consider independent inspection every three years or so of all trees.